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ABSTRACT

The seven reports in this collection address strategic planning for change in academic and research libraries. An overview is provided in the introduction, which discusses elements of the strategic planning process; library values and operating philosophy; a vision for the library of the future; environmental analysis; assessment of current library performance; action planning and implementation; issues related to strategic planning; and future challenges relating to changes in technology, the publishing industry, and higher education. The major part of this document is made up of reports from seven Association of Research Libraries member libraries; i.e., preliminary planning reports from the University of Arizona, the University of Michigan, and the University of Wisconsin; library strategic plans from the Library of Congress, Massachusetts Institute of Technology, and Ohio State University; and strategic/action plans from the University of California (San Diego). A list of 15 selected readings is provided. (SD)

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Strategic Plans in ARL Libraries

Kit 158

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STRATEGIC PLANS IN ARL LIBRARIES

By Jeffrey J. Gardner, Director
Office of Research and Development
Association of Research Libraries

INTRODUCTION

In recent years, strategic planning has become an important element in academic and research libraries' efforts to design their futures—futures consistent with both the challenges and the opportunities facing them in the 1990s. Strategic planning has also become recognized as a valuable tool for rethinking in fundamental ways the shape of library organizations, the nature of their relationships with other organizations, and the role which they might play in the academic and scholarly worlds.

In the context of this Flyer, strategic planning is viewed as the process of identifying and describing a desired future state for a library and developing the basic organizational tools for building support for that vision both within and beyond the library. In addition, the strategic planning process typically includes the identification of broad programmatic developments that need to occur to attain that future state. Strategic planning differs from long-range planning in the sense that while long-range planning typically involves designing incremental change over a two- to three-year period, strategic planning is directed toward the goal of actually creating a desired future in terms of a longer (usually ten-year) time-frame.

Academic and research libraries have a number of incentives for embarking on a strategic planning process. For some, the immediate incentive is a requirement from the parent institution to participate in a university-wide strategic planning effort. But for most, it is a recognition that the changes occurring in the environment call for a structured effort to understand and forecast those changes in order to design an end state for the library that takes advantage of opportunities while providing a broad picture of what the library should and can look like. This picture can then become the basis for broad, programmatic efforts aimed at moving the library into the future in an assertive, influential manner.

While there are many approaches to strategic planning, most have common elements that are typically utilized. In some instances, the process is specifically designed to address one broad area of need—such as facilities planning—but a strategic planning process will inevitably raise issues in other areas, including technological needs, staffing needs, and financial needs.

ELEMENTS OF A STRATEGIC PLANNING PROCESS

Planning the Process. Initially, a library usually addresses the issue of how it will proceed with the process. This design phase—planning to plan—is sometimes relatively informal, involving some research on available strategic planning models followed by administrative discussions in terms

of which approach will fill the library's needs within a given time frame. In other instances, this process might be more structured, with consideration of a particular existing design, and oriented toward adapting that existing design to the specific needs of the library. Some libraries go through this phase with the assistance of an outside consultant (typically a "process" consultant) and some do not, depending on available expertise on the staff and available resources. Among the issues which are typically addressed during this phase are: the degree of interest and commitment that exists for the process, particularly in top management; the desirable composition of the planning team; the general schedule for the project; whether outside assistance will be sought; and what forms of communication about the process will be used to inform both library staff and outsiders such as university administrators and key user groups.

Library Values and Operating Philosophy. A consideration of the library's values and operating philosophy is often an important part of the process. This includes identifying those several broad values—such as "service," "innovation," etc.—to which the library administration is committed and which will, in the aggregate, determine the library's operating philosophy. It has frequently proven to be an opportunity for a library to formalize a set of values that have been only assumed to be understood, while at the same time developing broad-based acceptance of the values among staff. It is also an opportunity to test the values with various external groups which have a stake in the library's performance, including faculty, students, administrators, benefactors, and—for some libraries—taxpayers and legislators. Once the values have been refined, they can become the philosophical context for the development of library programs, the behavior of staff, and the expectations of users. And while there are similarities among libraries' stated values, each develops a distinctive set that reflects its unique characteristics as well as those of its parent institution.

Vision Statement. Another important element in the strategic planning process is the design of a vision for the library of the future. This is frequently accomplished in a retreat setting at which key staff develop a shared understanding of the opportunities that will be present in the future, the particular strengths that the library offers for that future, and what the library should look like in that future. Issues that are typically considered in this provocative process include: likely technological developments, demographic forecasts, evolutions in the parent institution's programs, and likely financial developments. These considerations lead to the development of a consensus regarding the realistically desirable future vision of the library which can, in conjunction with the library's values, form the basis for the rest of the strategic planning process.

Environmental Analysis. Throughout a planning project, and even beyond the formal project, most libraries put considerable effort into analyzing their environments. This includes formal investigation of some of the areas mentioned in the paragraph immediately above—i.e., trends in higher education and the parent university, emerging technological developments, demographic changes in the university, and economic forecasts. Other areas are investigated when appropriate to particular situations. Among these are developments in publishing and trends in the library and/or information professions. While this investigation frequently includes an element of speculation, it also typically includes a conscious commitment to an ongoing review of the environment and the development of mechanisms and procedures for doing it.

Assessing Current Library Performance. Describing the library's current performance in terms of the mix of current programs, the quantity of service provided, and the quality of that service has been an important part of strategic planning for many libraries. While measures of library success are not always explicit, the review can lead to a greater understanding of where the library is now in relation to where it wishes to be in the future. It has also led to a greater awareness of the importance of success measures and of the need for libraries to develop more effective ways of understanding its programmatic strengths and weaknesses. The increased understanding of the current situation leads to identification of those areas which the library must emphasize as it develops its plan to move toward its desired future. This identification of required programmatic developments—or, key result areas—moves the library to a point where it can begin to think about shifting from the strategic level to the more functional level. For many libraries this has been the most difficult step.

Action Planning and Implementation. The final step for many libraries is the development of an action plan intended to direct departments' and individuals' activities toward moving the library toward its preferred future. This process has required broad staff commitment to the strategic plan and a specific procedure for staff to utilize in designing their efforts at contributing to the library's strategic movement. In a sense, the major challenge is to design the structures and procedures that will facilitate the movement of the strategic plan into the ongoing operations of the library. Issues that are considered include: identification of responsibility for designing new program efforts and implementing the changes, development of implementation schedules and appropriate mechanisms for reviewing and monitoring progress, and an ongoing process for interacting with the environment and shifting plans in accordance with major environmental changes.

STRATEGIC PLANNING PROCESS ISSUES

Libraries have faced several fundamental process issues when designing a strategic planning process. While the content of the plan is of critical importance, it is perhaps equally important that critical groups understand and accept what the library is doing and where it is headed, as well as the trade-offs of any major programmatic shifts. Traditional strategic planning efforts have been carried out by top management, with consideration of environmental pressures and the availability of internal resources, such as skilled staff. However, academic libraries have found it important to inform and involve staff at a variety of levels and to work with their university communities in both an educational and advisory mode.

Many libraries have initiated the strategic planning process with a two- to three-day retreat. In some cases, participants have included only the top two levels of staff, in others it has included all professional staff, in others a representative mix of managers, professional staff, and support staff. The intent of a retreat is most frequently to determine and define organizational values, to describe a desired future for the library, and to outline a process for completing the strategic plan. University administrators and key users minimally are kept informed of the process, but many libraries have found it both substantively and politically helpful to develop an advisory structure for the strategic planning project that includes both administrators and faculty.

Finally, libraries face the issue of whether to invest in outside assistance. Several ARL libraries have worked with staff from the Office of Management Services (OMS) in designing and operating retreats, and OMS staff have worked with libraries in designing and facilitating an entire planning process. Other libraries have retained consultants from the private sector who specialize in strategic planning and others have proceeded on their own. For many libraries, the use of an outside consultant has led to a streamlined process in which the library is provided a variety of tools that assist in the collection of information as well as an analytical structure that reduces the time and effort that the library must expend on designing the process. In addition, many libraries have found that an outside consultant—knowledgeable about library and higher education issues and trends—can provide valuable insights and feedback to the library as it moves through the process. Finally, a major consideration in deciding whether to work with an outside consultant is the increased costs in fees and travel expenses.

In at least one case, a library has included presentations by several outside experts in areas such as facilities planning, trends in information technology, and developments in higher education. When faced with the need to produce a space/facilities plan for the future, some libraries have sought the services of outside consultants with specialized backgrounds to produce the entire plan with only data-gathering assistance and periodic feedback from library staff.

ISSUES, TRENDS, AND CHALLENGES

As academic and research libraries consider the changes occurring in technology, the publishing industry, and in higher education, strategic planning will become an increasingly common response of library management. The challenge is not merely one of planning for the future, but rather one of shaping that future for the library to make its greatest possible contribution. It is likely to be common for libraries to be viewed as very different organizations with different roles, different relationships to other organizations, both within and beyond their universities, different kinds of staff, and even different kinds of facilities.

The challenges facing libraries embarking on a strategic planning process include: the need to design ways to shift general strategies into specific action plans, the need to build commitment to their desired future among their staffs and their constituencies, the need to design processes and structures that will continue to monitor and influence their environments, and the need to find the resources to invest in their future. While meeting these challenges has required a significant investment by libraries, the investment is virtually always viewed as worthwhile.

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Strategic Plans in ARL Libraries

Kit #158

October 1989

PRELIMINARY PLANNING DOCUMENTS

University of Arizona

*Request for Proposal for a
University Library Master Plan*

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University of Michigan

*The University of Michigan Library--Planning for
the 1990's*

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University of Wisconsin

*Prospectus--UW System Strategic Planning for
Libraries 1989-1990*

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LIBRARY STRATEGIC PLANS

The Library of Congress

The Library of Congress in the Year 2000: A Vision 43
(excerpts)

Massachusetts Institute of Technology

*The MIT Libraries at the Beginning of the 21st Century--
A Strategic Plan* 55*The MIT Libraries Strategic Plan--1991 Update* 95

The Ohio State University

*The Ohio State University Libraries--Strategic Plan:
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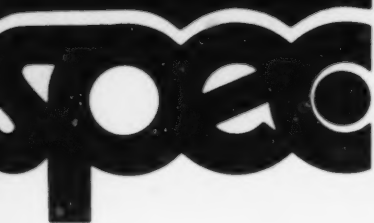
STRATEGIC PLANS--ACTION PLANS

University of California, San Diego

UCSD Library Goals: Objectives: Action Plans 137

SELECTED READINGS

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PRELIMINARY PLANNING DOCUMENTS

REQUEST FOR PROPOSAL

For a

UNIVERSITY LIBRARY MASTER PLAN

Issued by the

THE UNIVERSITY OF ARIZONA

May 1, 1989

SPECIAL NOTE: CORRECT TIME FOR PROPOSAL SUBMITTAL:

2:00 P.M. MOUNTAIN STANDARD TIME, FRIDAY, JUNE 2, 1989

Prepared in consultation with
Patrick W. Hayes
Asst. Director for Capital Budget and Planning
State of Utah Dept. of Administrative Services
4110 State Office Building
Salt Lake City, UT 84114



THE UNIVERSITY OF ARIZONA
TUCSON, ARIZONA 85721

UNIVERSITY LIBRARY
OFFICE OF THE LIBRARIAN

8 May 1989

MEMORANDUM

To: Shelley Phipps, Steering Committee Chair
David Laird
✓ David Buxton
Mary Reichel
Don Frank
Merri Hartse
Dick King

From: Sara Heitsch *Sara*

Subject: The RFP

Attached is your copy of the final draft of the RFP. The advertisements have appeared in Library Hotline, Chronicle of Higher Education and the Tucson and Phoenix newspapers. Copies of the RFP went to the four consultants who responded to our initial request for a strategic plan. Requests from other firms and individuals are logged in daily and faxed to the Purchasing Department. Their Bids Section is responsible for mailing the RFP's.

When you read your copy of the RFP, you will see that the only substantive changes have to do with the Purchasing Department's role in the process, the need to refrain from discussing the RFP either formally or informally with potential bidders, and some other legal language which is required by the University. We will need to justify our choice of consultant to the Purchasing Department in writing, and the Purchasing Department will offer the job to them.

SCH:dd

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INTRODUCTION TO REQUEST FOR PROPOSAL

for a

UNIVERSITY LIBRARY MASTER PLAN

The University of Arizona invites Proposals to provide the services of a qualified consultant to direct and perform a study of the facilities, collections, services, and technological needs of the University of Arizona Libraries and to develop a master plan for those libraries for the next ten years.

This Request for Proposal is part of a competitive procurement process which helps to serve the best interests of the University of Arizona. The Request for Proposal format is being used in this request rather than the "Request for Quotation". The "Request for Quotation" (Bid) format is used when good or services being procured can be precisely described. Price is generally the determining factor in the award.. With a Request for Proposal, price may or may not be the determining factor. The award will be made to the proposer whose Proposal is determined to be the most advantageous to the University of Arizona taking into consideration the evaluation factors set forth in the Request for Proposal.

This Request for Proposal states the instructions for submitting Proposals and the procedure and criteria by which a proposer may be selected. Any and all questions regarding this Request for Proposal must be directed to the Buyer named.

Thirteen copies of proposals shall be submitted to:

Purchasing Department
University of Arizona
5th and Mountain
P.O. Drawer 40370
Tucson, Arizona 85717
Phone (602) 621-5179

Proposals shall be received no later than 2:00 p.m. Mountain Standard Time, Friday, June 2, 1989, at the address shown above. Copies of Proposals shall not be sent to any other office or department at the University of Arizona. Each proposer is cautioned to give special consideration to the selection (evaluation) criteria when responding to the Request for Proposal.

Proposals shall be opened at the date, time, and place designated in the Request for Proposal. Proposals received after the appointed date and time will not be accepted and remain unopened. At the Proposal opening, the name of each proposer will be publicly read and recorded. All other information contained in the Proposals shall be confidential so as to avoid disclosure of contents prejudicial to competing proposers. After the contract has been awarded, the Proposal file will be open for inspection.

A Steering Committee, which will be responsible for evaluating Proposals and working with the selected consultant, will be composed of representatives of the University of Arizona Library, the University's Capital Facilities Planning Office, and other University officials. Actual membership of the committee will not be divulged prior to the interviews of the firms on the "short-list."

The University of Arizona invites pre-proposal comments and inquiries from interested parties, to be submitted in writing to the Purchasing Department at the address given above no later than 2:00 p.m. Mountain Standard Time, Monday, May 15, 1989. The Steering Committee through the Purchasing Department will, if it deems appropriate, issue addenda by Monday, May 22 to those consultants who have been sent the Request For Proposal. The addenda, if any, will clarify issues or questions raised by the initial Request For Proposal. However, no obligation is assumed by the University of Arizona to answer each inquiry or comment which may be received regarding the Request For Proposal. Rather, the purpose of any addenda issued will be to provide necessary clarification on issues considered important by the University.

From the date of receipt of this Request for Proposal by each proposer until a binding contractual agreement exists with the Selected Proposer,

informal communications regarding this procurement shall cease. Informal communications shall include but not be limited to (1) requests from proposers soliciting information, comments, speculation, etc. from University departments with the exception of the Purchasing Department, and (2) requests to the proposer from the department at the University with the exception of the Purchasing Department for information, comments, etc.

From the date of receipt of this Request for Proposal by each firm until a binding contractual agreement exists with the Selected Proposer and all other proposers have been notified or when the University rejects all Proposals, all communications between the University and the proposers will be formal. Formal communications shall include but not be limited to (1) pre-proposal conference, (2) oral presentations, (3) site visits.

The University of Arizona reserves the right to reject any or all Proposals and to waive any informalities in procedures or submittals received. We look forward to reviewing your submission on this challenging project.

I. GENERAL PROPOSAL REQUIREMENTS

The following are general requirements applicable to all proposers, and must be followed in order to be considered for award of the contract for services.

A. METHOD, APPROACH, AND SCHEDULE:

Provide a description of your approach to this study, (using the study elements and deliverables contained in Sections II and III of this Request For Proposal as a guide,) including methodology, team capabilities and reporting channels, key responsibilities to the steering committee, and a proposed and detailed calendar of events. The consultant should evaluate the target deadline for completion of the study of December 1, 1989. (See Attachment A for a list of

documents which are already available.)

B. EXPERIENCE AND TEAM MAKEUP:

Proposers must include the following in their proposals:

1. Provide a resume of your firm's experience in studies of this nature, including previous studies performed, a contact person for the agency or entity for which each study was produced, and an indication of the scope of the studies completed. Provide one copy of an example of a study performed, for review by the Steering Committee. Specific mention should be made of research library-related studies performed, with particular attention to the elements listed in Section II of this Request For Proposal.
2. Provide a detailed description and resumes of your study team makeup, including disciplines not housed in your firm but which may be appropriately added by contract, such as architecture, planning, library resources, technological resources, and other appropriate disciplines. Identify the specific background and experience the members of your team bring to the study. The selection process will look closely at these elements. The Steering Committee will assume that individuals whose resumes are submitted in support of a proposal will in fact directly participate in the master plan study.

C. FEE PROPOSAL:

Indicate in your proposal (by activity,) the not-to-exceed amount for your services, and show how this amount will be allocated. Provide information which lists proposed staffing, estimated staff hours, direct and indirect hourly rates by individual, estimated reimburseables, and basic retainer as applicable. Award of this study is not to be construed as a commitment to the same firm to provide further services related to new or remodeled library facilities, or

the acquisition of materials or technology.

Additional items beyond those specifically identified in this Request For Proposal (and/or going beyond your proposed fee allowance) which the proposer feels should also be considered in achieving a comprehensive approach to the development of the Master Plan should be itemized in the same detail as the items requested in this proposal. This additional information will not be used as an element in the selection of the consultant, but could become an element of expansion of the study should the data generated by the study suggest such an expansion. Use of those additional elements shall not constitute a commitment on the part of the library to the proposer.

The fee proposal will serve as a basis for negotiation with the successful proposer. However, should the University of Arizona and the initially-selected consultant be unable to agree upon a mutually-acceptable fee for services, the University of Arizona reserves the right to reject that proposal and negotiate with the next highest ranked consultant.

D. SELECTION CRITERIA:

The award will be made to the consultant whose Proposal is determined to be most advantageous to the University of Arizona. A series of criteria listed below will be used to evaluate proposals submitted in response to this Request For Proposal. Consultants should structure their proposals so as to respond crisply and directly to General Proposal Requirements, while at the same time demonstrating an understanding of the goals of the study and the elements of the Request For Proposal.

Criteria listed in the relative descending order of importance will include:

1. Consulting Team Composition and Experience
 - (a) Academic Research Library Experience
 - (b) Demonstrated Special Skills (Library Services, Facilities, Technology, etc.)
2. Study Approach and Understanding
 - (a) Overall Project Understanding
 - (b) Approach to Library Services Issues
 - (c) Approach to Library Facilities
 - (d) Approach to Library Technology
3. Fee Proposed

E. ADDENDA (IF ANY):

Proposers will be required to acknowledge any and all addenda to the Request For Proposal issued by the University of Arizona. A form for that purpose is attached as Attachment B, and is to be included with the proposal immediately behind the transmittal letter.

F. ORAL PRESENTATION:

An oral presentation by one or more proposers will be required after written Proposals are received by the University. The Purchasing Department will schedule a time and place. Each proposer should be prepared to discuss and substantiate any of the areas of the Proposal submitted. In conducting discussions there shall be no disclosure of any information derived from Proposals submitted by competing proposers.

G. DISCLOSURE OF DATA:

The Proposals shall be open for public inspection after contract award, except to the extent that the proposer designates in writing and the University concurs, trade secrets or other proprietary data contained in the Proposal documents shall remain confidential in

accordance with procedures promulgated by the procurement officer. If the Proposals contain data that the proposer does not want disclosed for any purpose other than the evaluation of the Proposal, the proposer shall clearly identify those pages of the Proposal that are to be restricted. The University assumes no liability for disclosure or use of unmarked data. Unless identified, information submitted in response to this Request for Proposal may be disclosed pursuant to the Freedom of Information Act and applicable Arizona Revised Statutes.

H. METHOD OF AWARD:

The University will carefully evaluate all Proposals received. The award shall be made to the responsible proposer whose Proposal is determined to be the most advantageous to the University of Arizona, taking into consideration the evaluation factors (criteria) set forth in the Request for Proposal. Proposers will be accorded fair treatment with respect to any opportunity for discussion of their Proposal.

The University reserves the right to reject any or all Proposals received. Non-acceptance of a Proposal will mean that one or more of the Proposals were deemed to be more advantageous to the University or that all Proposals were rejected.

Proposers whose Proposals are not accepted will be notified after a contractual agreement exists between the University and the Selected Proposer or when the University rejects all Proposals.

I. IRREVOCABILITY OF PROPOSALS:

Proposals must remain irrevocable for at least sixty (60) days.

J. ARIZONA BOARD OF REGENTS AGREEMENT FOR CONSULTANT SERVICES:

Proposers will be required to sign such an agreement (see sample agreement, Attachment C) before the project can proceed.

II. STUDY ELEMENTS:

The acceptable proposal must include all of the elements listed below. (Partial proposals addressing only portions of the total study elements are unacceptable.) Proposals are to follow and reflect the order of requirements and elements shown in the Request For Proposal, so as to facilitate review by the Steering Committee. Departures from that order may result in a lower score on the criteria relating to the proposer's understanding of the study requirements. With respect to the information to be gathered on each of the elements, consultants should provide examples of data gathering instruments which could be used in the study. Those instruments would be subject to revision in order to meet the specific needs of this study.

The study team should address the following study elements, placing major emphasis on Library Services, Facilities, Collections, and Technology. Insofar as possible, all recommendations in the final Master Plan must include an indication of (1) additional funding requirements, (2) additional staffing requirements, and (3) any necessary reallocation of existing resources with respect to each of the elements identified.

A. LIBRARY SERVICES:

The consultant will be required to inventory, review, and make recommendations regarding:

1. Existing Services in terms of:
 - (a) type of service
 - (b) clientele served
2. Future Service Patterns in terms of:
 - (a) type of service
 - (b) clientele served
 - (c) new technology
 - (d) new academic programs

(e) enrollment trends

3. Trends in Free versus Fee-based Services

B. LIBRARY FACILITIES:

1. The consultant is to evaluate and summarize existing library facilities, as well as existing statements of need for new space prepared by the institution, utilizing and explaining currently-accepted standards and guidelines for the projection of additional facilities needs and/or the upgrading of existing facilities. Building on this database, recommendations are to be prepared regarding the priority, timing, scope, type, and location of new spaces and/or upgrades of existing facilities required to provide efficient and effective library services at the University of Arizona. Interviews of individual library and university employees, as well as employees of the following seven non-system libraries, will be required:

- (a) Architecture
- (b) Arizona State Museum
- (c) Law
- (d) Health Services Center
- (e) Lunar & Planetary Laboratory
- (f) Steward Observatory
- (g) Optical Sciences

2. The following facilities elements should be addressed in the recommendations, assessing each in terms of current status, guidelines and standards (ALA or other national norms), options and alternatives, given projected growth and proposed service levels:

- (a) space by type of service or function (study, lounge, service, preparation, circulation, ancillary, media, etc.) and level (undergraduate, graduate, faculty, etc.)

- (b) staffing (technical services, public service, administrative, etc.)
- (c) technology for library users (audio, video, computer and video disk, microcomputer lab, etc.)
- (d) technology for library processing (OCLC, integrated library systems, etc.)
- (e) collections (open stacks, reference, monographs, serials, microforms collections, government documents, archives and special collections, etc.)
- (f) maintenance, storage, preservation, and operations functions
- (g) centralization versus decentralization of services
- (h) handicapped access considerations (physical, hearing impaired, blind, etc.)
- (i) geographic considerations, such as the location and relative distances between and among existing and proposed library resources

C. LIBRARY COLLECTIONS:

The consultant is to evaluate, summarize, and make recommendations regarding library collections in terms of facilities, taking into consideration the following elements:

- 1. size of collections, by format
- 2. future growth in collections, in light of:
 - (a) existing patterns of growth
 - (b) impact of new technology
 - (c) publishing trends
 - (d) future academic programs

D. LIBRARY TECHNOLOGY:

The consultant will be required to address the following elements of technology as they affect the library system and services:

1. The consultant is to review and summarize the current application of technology supporting the provision of library services. This review should recognize the technological environment of the library and the campus. The review should also note the degree to which technological commonalities currently exist among the various libraries in terms of systems, hardware, and software.
2. The consultant should develop recommendations for improving library services to the academic community and other users through:
 - (a) new applications of technology;
 - (b) improved electronic linkages within the campus setting, and among other University of Arizona libraries;
 - (c) improved physical delivery systems, considering such options as document delivery, facsimile transmission, digital scanning, etc.
3. Study recommendations should be presented and justified in terms of the following considerations:
 - (a) current trends in automation (hardware, and software) and video, graphics, and telecommunications technologies in order to maximize adaptability and flexibility,
 - (b) alternatives and options already available, ranked from the least costly to the most costly and by ease of implementation (where possible, modular, phased, or staged approaches to implementation should be outlined),
 - (c) overall economy, efficiency and affordability given the University's ability to support implementation
 - (d) the potential for integrating the recommendations into the University's currently existing organizational structures and technological environments.

E. LIBRARY RESOURCE SHARING:

The consultant is to inventory, review, and make recommendations concerning the following elements of University-wide library resource

sharing:

1. bibliographic access to library holdings information, both monographs and serials;
2. delivery mechanisms;
3. governance and policy issues;
4. contract arrangements for technical services such as ordering, cataloging, processing, etc., for other libraries; and
5. levels and methods of linkage of automated systems.

The consultant is to make university-wide recommendations for strengthening cooperation where appropriate.

F. LIBRARY MATERIALS PRESERVATION AND ENVIRONMENT:

The Library will be conducting a self-study in this area concurrent with the consultant's study, and the consultant will take any relevant available information resulting from that self-study and integrate it into the overall Master Plan.

III. STUDY OUTCOMES AND DELIVERABLES:

A. DESIRED OUTCOMES:

The Master Plan will provide a summary of recommended solutions to problems and an accompanying implementation timetable and cost schedule. These recommendations are to be supported by the inventory, assessment, and range of options identified for each of the elements contained in Section II above.

B. DELIVERABLES:

The deliverables for this study will be:

1. An oral interim report to the Steering Committee outlining progress to date, preliminary recommendations, and specification of any additional requirements necessary to complete the final Master Plan (the date of this report to be negotiated);
2. A draft of the Ten Year Master Plan;
3. The final report, consisting of:
 - (a) An Executive Summary, with recommendations (100 copies);
 - (b) The Ten Year Master Plan, with appendices, maps of potential facility locations, and such other supporting documents as necessary (50 copies).

Note: Printed reports are to be comb-bound, and the Executive Summary and the full Ten Year Master Plan are to be provided on IBM-compatible diskettes, preferably in Word-Perfect 5.0.

IV. TENTATIVE SCHEDULE OF EVENTS: (to be embellished in proposals)

May 1	Initial Advertisement of Study
May 1	Request For Proposal available to consultants
May 15	Comments & Questions on Request For Proposal due to Purchasing Department at 2:00 p.m Mountain Standard Time
May 22	Addenda (if any) mailed to consultants
June 2	Proposals due to Purchasing Department from consultants at 2:00 p.m. Mountain Standard Time
June 14 - 15	"Short-list" for interviews selected and notified by telephone (Letter to follow, with all proposers notified by the Purchasing Department)
June 21	Interviews with "short-list" consultants in Tucson
June 30	Award date
July 10	Initial "On-site" visit by consultant
Dec 1	Completed Master Plan due to Steering Committee

ATTACHMENT A

PRELIMINARY STUDY RESOURCE LIST:

1. "Unit Area Allowances For Libraries", (Fall, 1988), by Richard King, Facilities Planning Office
2. "Stack Capacity Measurements for Main and Science and Engineering Libraries", (1989), University of Arizona Library
3. "1986-87, 1987-88, and 1988-89 Library Strategic Plan(s)" (System Libraries only - does not include libraries in Architecture, Arizona State Museum, Law, Health Sciences Center, Lunar and Planetary Laboratory, Steward Observatory, or Optical Sciences.)
4. "Program Change ¹⁸²Reports - 1990-91", related to Integrated Library Systems and Staffing requests.
5. "Five-Year Automation Plan", University of Arizona Library.
6. "Comprehensive Campus Master Plan", adopted by Board of Regents, April, 1988 (may be updated soon.)
7. "Library Ten-Year Building Plan", University of Arizona Library.
8. "Renovation Decision Package Requests", (1989-90), University of Arizona Library.
9. "Arizona Universities System Mission and Scope Statement", Arizona Board of Regents.
10. "University of Arizona Strategic Plan", (draft only), University of Arizona.
11. "Stack and Shelving Needs For The Year 2000", University of Arizona Library.
12. "Collection Growth Statistics by Subject", University of Arizona.
13. "Library Annual Reports By Department", University of Arizona Library.
14. appropriate organization charts
15. space inventory information - University Facilities Planning Office
16. such other available information as may be needed and requested by the selected consultant

The University has an Office of Management Analysis and Research from which enrollment data, demographic studies, and related materials are available.

ATTACHMENT B

RECOGNITION OF ADDENDA

This proposal recognizes and acknowledges the following addenda issued by the Steering Committee in connection with the Request For Proposal for a University Library Master Plan:

Addendum No.	Issued (Date)
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

THE UNIVERSITY OF MICHIGAN LIBRARY
PLANNING FOR THE 1990'S

INTRODUCTION

The University of Michigan is setting a bold course for the future which will allow it to maintain its leadership role in the scholarly community. The Michigan Mandate describes clearly the dynamic environment within which the University will function as it addresses the challenges of higher education in the 21st century. As an institution central to the University's mission, the University of Michigan Library will be in the vanguard of this movement, re-interpreting its historical role as the primary campus intellectual resource in order to meet the increasingly varied demands of the future.

The Library has traditionally adopted the dual role of acquiring and preserving recorded knowledge while it developed services to enhance the campus's capability to exploit that cumulative record. The breadth and depth of the materials collected by the University of Michigan Library have constituted an enduring resource, unbounded by the vagaries of intellectual fashion. In today's environment, however, no institution can expect to acquire all of the scholarly information produced. The post-Sputnik information explosion has not abated and the growth of technology has added machine-readable data in a variety of formats to the list of resources used by researchers and students alike.

The development of information services to the campus has also grown in complexity. Interdisciplinary pursuits have multiplied and new disciplines have emerged. Educational communities have become more diverse in their backgrounds, interests and methods of research. For the foreseeable future, the major public record of research and scholarship will continue to appear on paper. This is especially true in the international marketplace where many countries still are heavily dependent on paper products and will not be automated for some time. The university as an organization has become more sophisticated in response to societal and technological pressures, and new organizational paradigms have evolved.

Within this environment of rapid change and shifting expectations, the University Library remains steadfastly committed to anticipating the needs of the individual user. The Library's close and continuing interaction with its user base has provided the framework for the current configuration of library services and it will continue to be the foundation upon which future initiatives of the Library will be based.

LIBRARY TRADITIONS IN TRANSITION

The Library has positioned itself well to address the challenges cited above. MIRLYN serves as a dramatic symbol of traditions in transition--literally millions of catalog cards are being converted into the campus's largest and most used online database--MIRLYN. Symbolic too is the impact of MIRLYN in

opening up the Library's resources beyond the bounds of library facilities. As MIRLYN is expanded to include information on acquisitions, journal issues, circulation information and the riches of periodical indexes, the user will have access to an incredibly powerful tool for research.

The information base collected by the Library has already been expanded to include a wider range of print and electronic formats. A vigorous preservation program has been instituted to ensure that the University's investment in these resources is not lost. Physical access to materials not owned at Michigan is being expanded as the direct result of the Library's active participation in national networks and consortia and as bibliographic access to these materials is expanded through MIRLYN.

Library services have been as diverse and dynamic as the collections. Bibliographic instruction and user education programs have increased dramatically as librarians help users take advantage of new information delivery systems like MIRLYN and PaperChase. Services are offered to the communities of Michigan through the Kellogg Foundation-sponsored M-LINK program, which has developed an electronic reference network connected to public libraries in the state. Information is delivered to the nation at large through MITS (Michigan Information Transfer Source.)

These services and resources are the result of the efforts of an excellent Library staff. The staff is the most valuable resource with which the challenges of the future can be met. The recruitment, retention and development of the Library's workforce, especially in terms of minority personnel, is an ongoing priority.

The Library is poised and ready to meet the challenges of the 1990's. This past year a management review committee of outside experts made a report analyzing the operations of the Library, noting strengths and recommending several areas for re-evaluation. One of the recommendations was to re-institute the Library's planning process. This document is the first step toward this goal. The following outline of Library initiatives will provide the framework within which the Library's staff will delineate goals and objectives for the next three years.

LIBRARY INITIATIVES

In analyzing the trends to which the University Library will need to respond in the near future, it is clear that the key theme is that of greater diversification. The information base will continue to expand at a rapid rate, with electronic formats proliferating but also with an increase in paper-based publishing, particularly from lesser-developed countries. Users will be able to access a great deal more information independently and users' expectations of information services which meet their individual needs will be heightened. Librarians' traditional role as information mediators and educators will also expand as information options outstrip most users' repertoires and as cross-disciplinary research increases.

In order to prepare for the scenario outlined above, the University Library will focus on three major strategies for the next three to five years:

I. USER SELF-SUFFICIENCY: The Library will help the user become more information literate and self-sufficient in this environment of expanding resources; and

II. INFORMATION RESOURCES: The Library will provide the broadest range possible of information resources to the campus community in support of their research, teaching and learning; •this environment of expanding resources; and

III. SERVICE FRAMEWORK: The Library will establish a service framework of staff, facilities, and program which will provide the flexibility needed to meet the changing expectations and needs of its users.

I. USER SELF-SUFFICIENCY

In support of Initiative I, MIRLYN will continue to be enhanced in the size and range of its contents. A number of journal indexes will be mounted and original databases produced by individuals or units on campus will be added as appropriate. The longer range vision of MIRLYN's function will be as a source of full texts or data sets, as a source for downloading personal files and making personal requests for information services such as interlibrary loan, and as a gateway to the online databases available at other research institutions.

These technological improvements will involve working with partners both on and off campus. Foremost among these partners in realizing the fullest potential of electronic information is ITD. The Library's strength in selecting, organizing, and facilitating

the use of information, combined with ITD's technical and networking expertise, can bring to fruition a variety of options to enhance access to information.

User support is an important component of user self-sufficiency in this complex information environment. The Library will develop expanded support services for groups of students and faculty who are less familiar with complex information resources. An ongoing, consultative relationship with faculty will be developed to ensure that individual and departmental needs are met in the best way possible.

User education will be emphasized, both as an extension of the traditional bibliographic instruction function of the library and in more formal ways. The Library's relationship with the School of Information and Library Studies will grow, fostering the creation of courses for users and librarians alike. It is expected that research projects designed to solve problems of providing information services will emerge, involving librarians and library faculty in the joint exploration of issues.

II. INFORMATION RESOURCES

The Library will continue to maintain the highest quality collection of information resources, regardless of format. This initiative has several foci. The first focus will be upon acquiring materials to meet both the immediate and the future needs of the University's research and teaching communities. The historical strengths of the collection, which are critical to the

world of scholarship and which are essential to our local provision of a solid base for the growing body of knowledge, will be maintained. Some in fact, including special collections, will be enhanced by new bibliographical control mechanisms. However, new areas of research and new university programs will also be supported.

The second focus of this initiative will be to strengthen the Library's program of preservation. The program is now predominantly oriented toward preservation of print materials. The preservation and conservation needs of electronic, film and other materials will be increasingly important to the campus.

Access to resources not owned locally is critical to any research community and the University Library will also focus on improved systems of acquiring information from remote sources. Expanded relationships with external sources of information, whether not-for-profit or commercial, will be explored.

III. SERVICE FRAMEWORK

The library initiatives outlined above have significant implications for the service framework of the Library. Traditional staff roles will be re-defined. Public service and technical service librarians alike will adopt a more proactive stance toward offering their services to users in need of advice in database construction or on evaluating information sources. Professional staff will be increasingly engaged in user education, in communication with faculty needing specialized information

services, or in research and development. Support staff will, in turn, be given more responsibility within the library for basic operations, including routine direct user assistance. New roles will require new definitions of performance expectations and advancement criteria.

As the role and functions of the Library change, effective communication with the students, faculty, the administration, and the public at large about these changes will become particularly critical. Strategies which both inform and involve the user community in Library issues will be sought. A renewed emphasis will be placed on improving library publications and on developing a public information program.

The need for familiarity with an increasing variety of technological tools, the need for enhanced teaching skills, and the shift in staff roles, argue for a new emphasis on continuing education for all library staff. Education in a number of related topics, from the construction of expert systems to telecommunications issues will be valuable to many. Various options for continuing education will be explored, from support for formal degree programs to conferences and informal workshops.

The adoption of the latest in technology has tremendous implications for an aging physical plant. The Library will evaluate all of its facilities in view of the new uses to be made of them by the campus community and the staff. Safety and security for staff and protection for the collections and equipment contained within, as well as regular maintenance, must be an emphasis in the next few years. A new facility will have to be considered. Already well advanced is the new ITIC building and a

Social Work library. Preliminary exploration for possible facilities for the sciences and Rare Books and Special Collections will be undertaken.

All of these initiatives require financial support and the Library recognizes its responsibility to use its resources effectively. An aggressive development program will be undertaken to pursue gifts and grants. A continual review of operations will be made to ascertain efficiencies which might be accomplished by internal reallocations. Consolidation of some facilities will be explored, as will joint ventures with schools and colleges planning new buildings or renovations.

CONCLUSION

These three areas represent the most important thrusts for the University Library over the next three to five years. The Library's planning process will provide the details of an action plan and, no doubt, there will be many changes to current operations proposed in this process. It is important to remember that the Library as an organization has been successful in the past due to its commitment to building a pre-eminent intellectual resource, its campus-wide perspective which never loses sight of the needs of the individual scholar, and the excellence of its personnel who do not define their roles by any particular technology. These strengths will continue to stand the Library in very good stead as it faces the future.

9-14-89

UNIVERSITY OF WISCONSIN
PROSPECTUS
UW SYSTEM STRATEGIC PLANNING FOR LIBRARIES
1989-1990

The contemporary academic library has been assailed by profound and long-term changes. In less than a generation, almost every function carried out in the library has been altered to some degree by the advances we have witnessed in electronics, computerization, and telecommunications. A quick readjustment and settling into a new status quo is unlikely. Libraries are central to the mission of the university. Thus, there is great interest in what academic libraries of the twenty-first century will be and how they will differ from their present configurations. Failure to anticipate future needs will result in forced and not necessarily wise change or an erosion of library capabilities. Thoughtful and imaginative efforts at planning and resource allocation will be needed to keep pace with the intellectual demands of the times and to strike a proper balance in support of the individual libraries that make up the UW Library System.

The UW System feels the need for a strategic directive and for recommendations for the improvement of UW System libraries and library services in anticipation of future needs. The plan/recommendations should address (a) accommodating anticipated changes while (b) maintaining the excellence of the UW System libraries and their ability to function in support of teaching, research and public service during the transition.

The emphasis in libraries is shifting from collections to access. The principal goal and activity of the evolving information age academic library will be providing access to information to the widest possible audience. To understand the impact of the shifting emphasis on academic libraries requires reflection on two paradigms of library organization: the warehouse, or repository, paradigm and the electronic information paradigm. While the environment for providing users with access to information resources in the electronic library is significantly different from that of a print-based, traditional library, the contemporary library has become a bimodal environment wherein repository materials and electronic information coexist. An "Integrated Information System" paradigm, wherein an online catalog, non-MARC databases, and full-text databases as well as CD-ROM's and other formats of digitized information providing access and delivery of warehoused information, of electronic information, and of information gateways complements the repository library with its more traditional card catalog, shelved books, maps, AV materials and other library files, offers a viable model for shaping the current and future directions of the the "new" library of the UW System. It allows for a necessary flexibility in considering current issues faced by academic libraries as it moves toward an assessment of the impact future developments will have on users.

Traditionally, analyses of the library would be based on its component functions. In contemporary libraries these functions are blurring, they cross lines, they are not as clearly defined as they once were. However, academic libraries are in a period of unprecedented change and adjustment. Accelerated changes have resulted in both internal and external challenges to the way academic libraries operate. The significant impact of these changes argues for a need to review

Strategic Planning: Libraries Prospectus

current strategies on access, collection development/maintenance, preservation, personnel, space, and resource sharing. The Steering Committee must of necessity address a wide range of concerns facing the contemporary academic library as well as plan for transition into the future. While significant, current problems in these areas cannot dominate the discussion. New strategies emphasizing improved cooperation and coordination of library activities, increased resource sharing, and maximizing user services will be needed to maintain library quality and services during the transition to the UW System libraries of the future.

The task of the UW System Strategic Planning Steering Committee will consequently be simultaneously to (a) address issues raised by the existing major paradigms of library organization to gain a balanced analysis of the current and future needs of the UW System libraries while (b) concentrating on the end-users of the libraries within the system through an emphasis on the question, "What is the best interest of the users?" and maintaining an awareness that (c) no single result is applicable from Madison to Superior, such that the interest of the user is addressed within the context of the diversity of institutional missions and priorities manifested in the University of Wisconsin System.

A three phased approach to the strategic plan is suggested. In the initial phase, Identification/Clarification of Current and Future Issues, an elaboration of areas of concern in shaping the future library while maintaining/improving current services would take place. The second stage, Issue Analysis, would involve an in-depth analysis of the issues emerging from Phase I. The final phase, Strategic Plan Development, would involve recommendations emanating from subcommittee analyses in Phase II which will guide the development of the UW System libraries as they make the transition from their current orientation's to the academic library of the 21st century in the ensuing decades.

AN INITIAL ELABORATION OF ISSUES

A transition from manual to electronic systems marks today's academic library. Libraries are moving to the new paradigm of electronic storage/access without abandoning their responsibilities under the old paradigm of paper repository. Rising expectations among student and faculty clients are expected to create more intensive rather than less extensive use of the library's resources. Changes in the way libraries provide services to their student and faculty clients can be anticipated.

The shifting emphasis from collections to access which characterizes the current bimodal library environment has blurred the functions that have been the traditional focus of library analyses. The approach suggested in an extended discussion with UW System Library Directors would reflect library activities in meeting user needs rather than an emphasis on function. Major areas of concern which have potential for significant impact on both library users and providers in the UW System include:

- o Access
- o Scholarly Communication
- o Coalitions/Connectivity
- o Networking/Resource Sharing
- o Outreach
- o Management

Strategic Planning: Libraries Prospectus

Access

The proliferation of information resulting from technological advances has radically altered the groundrules in the societal advancement of knowledge. In an economy moving from a machine/industrial to an information technology/post-industrial base, information can be expected to become even more central. The principal goal and activity of the evolving academic library will be providing access to information to the widest possible audience. System libraries will have an essential role to play in educating students, citizens, and faculty members in using these evolving access and delivery systems.

The electronic library's ability to draw upon enormous bibliographic resources through its computer search capabilities creates a merger of research and instruction hitherto unequalled. This generates issues of integrating electronic information with present collections so that clients are aware of the availability of both forms of information. A key question becomes "How can we adjust our information distribution patterns to incorporate electronic information without diminishing (ideally, increasing) the quality of the "physical" resources characteristic of the repository library?" One of the great challenges to the Steering Committee is to address the dual goals of increasing user access while controlling costs.

Other access issues of concern to the UW System include collection management/maintenance and preservation. The idea of stabilizing a collection at some number of physical volumes is inappropriate for quality academic libraries such as those within the UW System. An issue confronting the Steering Committee is, therefore, a strategy for optimizing the quality of local collections in support of teaching and research.

In the past, preservation was a neglected area, and today's libraries reflect that neglect in the deterioration of a large, and growing portion of their collections. While preservation and conservation techniques are available, successful preservation of the magnitude of materials subject to deterioration represents a major current challenge for System librarians.

Scholarly Communication

Not only research libraries are changing rapidly and dramatically as a result of the extraordinary advances in computing and telecommunications technology, so too is the entire area of scholarly communication. The system of scholarly communication involves the creators/authors of scholarly works, the knowledge created/interpreted, initial/informal means of communication, means of formal review and communication, means of distribution and access, research libraries, and consumers of information.

Technology and economic considerations have altered the nature of scholarly communication. In addition to the commercial, academic, governmental and private organizations publishing books, journals and other paper documents, "publishers" now include those "engaged in electronic publishing, in developing databases or electronic access, and in issuing reports and data wholly or in part in microform" (Association of Research Libraries, 1986: 4). Scholarly information is presently available through online databases, electronic networks, and from laser disks — all formats that are outside of the traditional peer review and scholarly publishing systems. In effect, the definition of "published" is becoming increasingly unclear and "any research library that depends

Strategic Planning: Libraries Prospectus

upon mainstream publishers alone for its acquisitions is crippling its current and future research capacity" (Weiskel, 1988: 43).

Exacerbating this problem is the emergence of new disciplines, sub-disciplines, and interdisciplinary groups, with highly specialized and successful publishing ventures of their own, which add to the spectacular growth in knowledge. The proliferation of knowledge and the attendant growth in the number and cost of specialized publications has raised a challenge to the traditional cost-free services provided academic library clientele. Faculty and students are used to receiving library services without charge. Rising operating costs require a thorough evaluation of the free versus fee approach to information dissemination and the impact a change in the current approach might have on library services. The changing nature of information and its availability in digital form raises copyright and other legal issues as well.

Coalitions/Connectivity

The major changes faced by academic libraries will require not only coalitions of libraries with libraries, but also coalitions of libraries and other agencies -- computer centers, technologists, legislative agents, scientists, citizens, and business people -- if they are to be successfully met. Relationships need to expand, the participants in meeting the challenge of maintaining library quality while simultaneously moving UW System libraries into the 21st century need to include budget officers, information technologists, computer center directors, faculty or business people from disciplines which apply research skills to the design of systems, telecommunications officers, personnel officers, lawyers, academic affairs officers and deans, librarians, professional organizations such as EDUCOM, standards organizations, as well as representatives from private sector database, information systems, and software development firms.

Networking/Resource Sharing

One evaluation of the changing role of academic libraries noted that "Resource sharing, especially resource sharing through formalized networks, seems the most promising method of ensuring that academic libraries can stay abreast of the needs of scholars and researchers in this country. It is clearly too expensive to rely on local collections alone" (Moran, 1984: 71). There is a need to review existing arrangements for cooperative borrowing within the UW System and to explore present and future alternatives which reduce time and cost of document delivery.

Outreach

The Final Report of the Wisconsin Strategic Development Commission noted that UW system business and engineering programs are very important to economic development efforts in Wisconsin. With the emergence of biotechnology we have another area of great potential impact on economic development. The creation and dissemination of information is integral to the basic research, for example the University-Industry Research Program (UIR), these efforts require. Technology transfer from academe to industry also requires information dissemination. The role of the UW System libraries in outreach efforts to business, in extension and to developing minority communities needs to be addressed and assessed.

Strategic Planning: Libraries Prospectus

Management

The library of the past has been characterized as very personal. Because it is a highly labor-intensive organization, staffing and personnel issues are critical to the academic library. According to one view, "Nothing will be as important to the quality of library and information services provided to scholars and students within colleges and universities as the quality of people recruited, retrained, retained, and supported to manage and deliver those services in the next two decades" (Abell and Coolman, 1982: 71). The new technological developments require more specialization among librarians and lead to the development of new staffing patterns. Rather than diminish the role of the librarian, the evolving integrated library is expected to increase the demand for the librarian's skill. The more complex the resources, the more difficult for faculty and students to work their way through a collection. Library education to make users more self-sufficient is seen as a major step in improving services by making librarians available for working through the more complex questions/issues brought by the more sophisticated users.

Outside site visitors in accreditation reviews frequently ask questions on how effective the library is in meeting program/user needs. The question of effectiveness, of whether libraries provide the services needed by their user populations, and whether and what users are actually producing (publications, presentations, etc.) is frequently overlooked. The strategic planning exercise is a good opportunity to address this question which is not usually addressed by library accreditation reviews.

The issue of physical space in library facilities has been a continuing concern of the UW System for many years. The issue has been addressed on several occasions in previous System studies. In the interim, the nature of archival housing has become increasingly more variable. Information is now available in a variety of formats differing from those in the late 1970s. Different categories of resource space are not interchangeable. Each format has its own requirements for climate control, access machinery, and shelving or electronic storage.

The areas of concern suggested by the extant literature and the discussions with UW System library directors are intended to guide the Steering Committee as it seeks to meet its task of simultaneously (a) addressing the issues raised by the transition from the repository/warehouse through the electronic to the integrated information system paradigm while (b) concentrating on the best interest of the user within (c) the context of the diversity of institutional missions and priorities manifested in the University of Wisconsin System.

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OMS

Systems and Procedures Exchange Center

LIBRARY STRATEGIC PLANS

THE LIBRARY OF CONGRESS IN THE YEAR 2000: A VISION

Management and Planning Committee

June 29, 1988

MISSION

"Knowledge will forever govern ignorance: and a people who mean to be their own governors, must arm themselves with the power which knowledge gives."

Madison's words contain the principle basic to the Library's obligation to the American people and their representatives. A democratic republic must foster a healthy zeal for open expression and innovative solutions. Therefore, because an informed populace and its legislature are the basis for a sound government and a vibrant society, the Library actively and aggressively supports and encourages access to and the creative use of recorded knowledge.

With its extraordinary resources, the Library is in the unique position to be both catalyst and participant in the intellectual process that transforms information into knowledge, and knowledge into wisdom. In an ever-changing, technologically complex, and issue-oriented world, the Library of Congress, the national library of the United States, supports, strengthens, and advances the intellectual and cultural foundations of American life.

The Library of Congress

- provides analysis, research, reference, and unique services in support of the Congress;
- develops, organizes, maintains, and serves collections that comprehensively document the life, history, and creativity of the American people and that extensively reflect the worldwide advancement of art and science, thought and knowledge;
- provides appropriate research, bibliographic, and information services to government and the private sector, scholars, libraries, and the general public, including blind and physically handicapped readers;
- provides leadership in programs to enhance library service throughout the country and in a national information system that coordinates the country's diverse information resources and networks; and
- promotes creativity through the protection provided by the copyright law and through other projects, programs, and alliances.

In support of its missions, the Library actively seeks public and private funding to meet its goals and to provide continuity in their execution.

VALUES

Underlying the operation of any organization are institutional values that define its culture and shape its actions. A responsibility of the Library's leadership is to communicate these values to persons within and beyond the Library and to ensure that they are understood and used appropriately.

The seven values of the Library of Congress are

--Service: The Library provides the best service feasible to its constituents and to the persons and organizations that comprise the Library itself.

--Quality: The Library provides the best quality feasible in every aspect of its activities, no matter how large or how small.

--Effectiveness: All Library activities are designed to accomplish its missions. Optimal results are achieved through efficient use of resources.

--Innovation: The Library constantly seeks, tests, and employs new and creative methods of improving its services and the use of its resources.

--Fairness: The Library is fair in its treatment of staff and users, and it respects all persons and takes measures to ensure equal treatment and opportunity in all of its activities.

--Participation: The Library encourages and supports widespread staff participation in the planning, implementation, and ongoing evaluation and improvement of its programs and activities.

--Staff Development: The Library ensures that it has the human resources appropriate to conduct its programs by encouraging and supporting staff excellence, and it takes measures to promote and foster superior performance, leadership development, individual growth, job satisfaction, and opportunities for career development.

COLLECTIONS

The collections of the Library are unique in their nature and extent and their development, organization, preservation, and security are consistent with this uniqueness.

The Library develops collections in all fields (except clinical medicine and technical agriculture), in all languages, and in a variety of formats. The Library clearly and formally articulates its collection development philosophy and acquisition policies and procedures in order to ensure consistency and continuity and to use its resources effectively.

The Library's cataloging and related bibliographic activities are focused on materials within the collections in pursuit of the primary objective of making all of them known and accessible to users in a timely and useful manner. The Library adheres to appropriate national, international, and internal standards.

The Library's collections are housed and preserved in suitable, controlled, and secure environments. The Library aggressively applies appropriate preservation mechanisms to each and every collection it has or acquires. While maintaining a balance between user needs and the need for security and preservation, the Library is energetic and vigilant in assuring that its collections are protected from harm and employs physical measures and procedural controls to protect them.

SERVICES

The Library of Congress provides its services swiftly, surely, and courteously, when and where needed, to the Congress and to others for whom the Library is the best source.

Because an informed legislature is the keystone of a working democratic republic, the Library gives, as a first priority, responsive and farsighted support to the research needs of the Congress, including in-depth policy analysis.

The Library offers vigorous and responsive service to a wide spectrum of users both inside and outside its facilities through a variety of means. It has an appropriate hierarchical referral, reference, and research service based on an informed understanding of the full range of user requirements.

In response to the information needs of the nation, the Library provides customized services at a fee when such services would contribute to the Library's mission and could not otherwise be provided.

The Library has a well-established program for cooperatively building a national bibliographic data base and provides continued and expanded national leadership in cooperation with the library community.

The Library promotes creativity through the effective administration of the copyright law and preserves the balance between those who create and those who use intellectual property by advising on the development of copyright laws.

LEADERSHIP

Under the aegis of the Congress, the Library exerts its leadership vigorously within and for appropriate national and international cultural, library, and information communities by

- playing an increased role in developing or setting the standards in bibliographic, preservation, technical, and technological areas appropriate to its activities for the enhancement of library service throughout the country;

- coordinating and participating in a national network for transmitting and receiving collection content as well as bibliographic data;

- playing a strong role as an intellectual, informational, and cultural force through publications and such programs as exhibitions, conferences and seminars, and residencies and fellowships;

- forging partnerships with the profit and nonprofit sectors for the aggressive and creative development of new programs and resources; and

- championing the ideal of freedom of access to information.

Chapter I-- Increase LC's administrative efficiency and economy, including providing for greater job satisfaction for the Library's staff

Scope: The recommendations in this chapter fall into three major categories: (1) the provision of basic services, that is, those administrative services the Library provides to itself; (2) planning, budgeting, and cost of operations; and (3) human resource management, including such issues as EEO, affirmative action, labor relations, training, performance evaluations, and recognition.

ISSUE SUMMARY

Basic Services

There are serious deficiencies in the present Library systems for (1) obtaining internal services and processing administrative actions in a timely manner; (2) getting status information about those requests and actions; (3) obtaining timely and up-to-date information about laws, policies, court decisions, and regulations that affect Library activities; and (4) producing management information necessary for ongoing evaluation and improvement of basic services. There are perceptions of a lack of responsive and consultative service, inadequate flexibility, a lack of back-up systems, and lack of coordination and accountability for services that cross organizational lines. As a result, basic services are often provided in an ineffective and inefficient manner. This situation seriously impedes our ability to meet program objectives throughout the Library.

In general, the burden of accomplishing administrative objectives is placed on the user, who must track the progress of actions and spend considerable effort and time on moving them from step to step. Service providers are passive recipients of requests and do not generally have systematic or reliable methods for distributing information, keeping it up to date, or providing users with feedback. Ongoing management oversight is minimal, at best, and there are few, if any, management information systems to support evaluation of services. Rarely are users asked to evaluate the services they receive.

When modifications in services or procedures are undertaken, users' needs often seem secondary to other process considerations. There is a perception that processes are driving the mission rather than the mission driving internal process, and that some persons in staff positions (personnel who advise and support line managers in carrying out their duties efficiently) are making decisions that persons in line positions (personnel who have direct control over the activities that constitute the mission of the Library) should be making. There are various reasons why persons in staff positions make decisions they should not, among them the following: first, upper-level line managers give the authority to the staff person or offices whether consciously or not; second, overworked or insecure line managers may find it convenient to delegate to their highly trusted staff decision-making responsibilities that they should have retained; third, lower-level line managers become comfortable with higher-level staff making decisions because it reduces their accountability.

To be successful, any effort to address these problems will necessarily involve a number of different but interrelated initiatives, which should, minimally, include the following: (1) managerial accountability at every level for institutionalizing the Library's values and working toward achieving agreed-upon program goals; (2) development and implementation of a systematic planning process which will set those goals; (3) provision of adequate staff and nonpersonnel resources to meet the goals; (4) commitment to simplify and expedite procedures wherever possible; (5) effective management

oversight of all operations at all levels; and (6) commitment to develop, maintain and distribute management information to basic service users.

Planning, Budgeting, and Cost

The Library does not have adequate, reliable information about the costs of its operations. Without a knowledge of costs, the Library cannot adequately assess the effectiveness and efficiency of its operations. It cannot assess the practical impact of actual or proposed changes in its policies and procedures. Judgments about costs and benefits must take into account the impact on constituents as well as the Library itself: a service costly to the Library may be so costly to others that its continuation is justified. In other cases, adequate cost information will help in establishing the proper fees to charge for products or services. Cost information must also be used to support decisions about alternative uses of resources. Every activity has its cost, and with finite resources each decision to do something is a decision not to do something else or to do it less well.

The Library does not develop long-range plans related to recognized and prioritized institutional goals. Rather, the Library's planning process tends to be separated from or to be driven by the budgetary process and to occur within lines of administrative authority rather than in terms of the programmatic strategies of the Library as a whole. To fulfill its mission, it must develop long-range plans that provide the basis for addressing problems, initiating programs, and supporting ongoing activities, and these plans must be based on reliable information and must drive the budget process.

There is no clearly defined process, nor is there anyone with the specific responsibility and authority to recognize, analyze, and resolve systemic problems, that is, those problems that cut across service and program boundaries. In the past, localized ad hoc initiatives have often resulted in duplication of effort, incomplete information for making decisions, and often no decision or action to resolve problems. This is a direct consequence of the lack of an overall strategic planning process.

Human Resource Management

Many Library of Congress employees feel partially or completely disenfranchised and lack a clear understanding of the purpose and direction of the organization. The communication process, in many cases, is one-way. Generally, there is a lack of accountability for results and a lack of trust in one another to be team members in fulfilling the mission and goals of the Library of Congress.

The labor/management relations program and structure are superimposed on the complex and overburdened personnel bureaucracy without a labor/management philosophy. Informal, creative, and innovative approaches have been discouraged because of fear of possible conflict with existing law and procedures and the fear that precedents would be established. There is an absence of effective communication and training, excessive reliance on rules and regulations, too much litigation, and too little flexibility, cooperation, and risk-taking in problem solving.

There is a perception internally and externally that the Library is not as committed as it should be to being an equal employment opportunity employer. The Library's EEO problems and process have absorbed resources that could have been better used elsewhere. There is a serious lack of effective communication, training, and accountability relating to equal employment opportunity. Many complaints that are filed in the EEO office are not of a discriminatory nature but rather a conglomerate of other types of staff concerns and problems, many legitimate, some without merit, but for which there is no other apparent avenue of redress. Affirmative action programs have not adequately focused on recruitment, selection, training, development, and placement for members of groups which have been

Chapter II -- Improve methods for selecting, cataloging, preserving, and maintaining LC's collections

Scope: Issues dealing with the collections touch on virtually all parts of the Library. The collections, many of which have intrinsic value, are central to the provision of service to all users, both in person and remote, as well as to our role in a national library network, including provision of cataloging data to the nation's libraries, coordinating collection development and preservation efforts, and providing access to the collections. Because collections issues are integral to all of the other elements of the charge, and because they are themselves so interrelated, we have brought them together in one chapter to facilitate their consideration. Thus, this chapter includes recommendations on arrearages, collection development, materials processing, bibliographies, and preservation. Security issues were spun off early in the MAP process and assigned to an ad hoc committee which submitted a separate report to the Librarian. Surrogate distribution of collections, because it benefits libraries and library users nationwide, is treated in Chapter V.

ISSUE SUMMARY

Arrearages

One of the most important problems the Library needs to address is the arrearage of unprocessed materials in its collections. Hundreds of thousands of volumes in the general collections and millions of items in the special collections remain unprocessed and, therefore, unknown and unused. The Library of Congress has emphasized the processing of materials for the general collections for many years; however, even this emphasis has not been able to prevent the accumulation of arrearages of book materials. In the area of special collections, adequate resources for materials processing have never been available and huge unorganized arrearages exist. We need a commitment both to eliminate current arrearages and to establish policies and practices which will prevent the formation of new arrearages.

Collections Development

Perhaps more than anything else, the policies and practices by which the collections are developed have the potential for bringing the arrearage problem under some control. Yet currently, the collections development functions are dispersed throughout the library and are inadequately staffed, contributing to an ineffective program.

The Collections Development Office (CDO) has been given a mandate but, in fact, little authority. The book budget is not under its authority, and responsibility for acquisitions travel funds is shared with Processing Services and Research Services. The recommending officers are located in Research Services and National Programs, and CDO has no authority over them. The Law Librarian is responsible for the development of the Law Library's collections and its recommending officers, separate and apart from CDO. Because of its genesis in the copyright law, the Deposits and Acquisitions Division which serves a vital acquisitions function, was placed in the Copyright Office. This division has the potential to reduce the amount of money the Library spends on acquisitions by legally claiming publications that have not been deposited. (Publications valued at over \$1 million were claimed in both fiscal year 1987 and fiscal year 1988.) A small staff and lack of communication with other acquisitions divisions currently prevent this potential from being realized even more fully.

MAP Report

Separation of the recommending and selecting functions and the size of the Library inhibit successful communication about collections development. Owing to the large amount of material being received daily, the Selection Office staff can give it only a cursory look and make quick decisions based on their experience and knowledge, country of publication, publisher, format, and other criteria. Marginal and interdisciplinary material may not be sufficiently examined.

Recommending officers typically work on an ad hoc basis, as time permits, with recommending thus given a low priority. Lack of assigned time is a critical element in the perceived faults of collection development. Participation in regular review of approval plans, checking standard and new subject bibliographies, and staying informed about new publications--all are below satisfactory levels. Bibliographies, catalogs, and other sources are routed by CDO for review. The Collections Development Office approves all acquisitions recommendations, and there are significant delays in moving them through the system. The length of time required frequently means that the material is no longer available when an order is finally placed.

Acquisitions Policy Statements are the practical formulations of the Library's collection development philosophy and are a tool for a systematic approach to collections development. They should ensure a Library-wide philosophy for the collections and not reflect parochial interests of individuals or divisions. They are the logical place for establishing acquisitions priorities and for providing guidelines for impact statements to be prepared, as appropriate, when potential acquisitions are under consideration. Responsibility for assuring the development and maintenance of the policy statements lies in the Collections Development Office, but lack of authority and lack of staff prevent the office from fulfilling these functions systematically.

Levels of collecting vary, depending on the nature of the materials and their relationship to the Library's mission. The Library does not collect technical agriculture or clinical medicine. In addition, there are a limited number of areas in which the Library relies on other libraries to acquire materials more comprehensively. Some of these agreements are formal (such as the agreements with the other two national libraries); some less formal. For example, LC deemphasizes collecting local and state materials that are more comprehensively collected by state libraries; LC also does not heavily collect Masonic publications, which are comprehensively collected by the Collingwood Library and Museum on Americanism. Still, the Library of Congress neither has, nor is likely ever to have, the resources needed to acquire, process, and house all research-level materials. The Library can concentrate on collecting certain materials, relying on other institutions for materials in designated areas, through cooperative collection development. The benefits of cooperative collection development to the Library of Congress are improved access to information for users and the ability to focus resources on priority areas.

Materials Processing

To be most useful, an item and its corresponding catalog record must be available to users in the shortest time possible after acquisition occurs. Studies done by Processing Services have revealed that the availability of many catalog records follows acquisition by unacceptably long periods of time. Although the Library of Congress is not alone in its inability to process its entire holdings, the continued growth of our arrears presents several special problems:

- (1) There is a lack of knowledge of, and access to, items in our possession.
- (2) Other libraries depend on the Library of Congress for cataloging and other bibliographic information.
- (3) Much of our arrears consists of unique items that will be unknown unless we process them.
- (4) Until processing occurs, the preservation needs of the arrears items are not known;

deterioration which could be arrested may not be stopped in time.

(5) Much of the arrears is stored in unsuitable physical surroundings which place them in hazard of damage, loss, theft, or premature deterioration.

(6) The Library's failure to process and safeguard properly its collections may, if known, discourage potential donors from entrusting their holdings to our care.

Factors contributing to the arrears problem include:

(1) An imbalance of resources for cataloging special collections vs. general collections materials. The Library has supplied much of the cataloging for English- and foreign-language materials for the nation. But while the Library has been successful in these areas, large numbers of items, especially in the special collections, have remained uncataloged and virtually inaccessible.

(2) Insufficient resources to assure timely processing of receipts.

(3) Resources stretched too thin by adherence to extensive, detailed, and complex cataloging rules and procedures.

(4) Insufficient consideration of the end-user's needs in the evolution of cataloging practices, which have responded instead to technological change and the dynamics of the national and international communities of technical services professionals. While this has produced improvements, it has also increased the resources needed to catalog the average item.

(5) The ability to base cataloging priority on need apparently is not adequately used. As a result, items containing timely, significant information are given relatively low priorities and take unnecessarily long times to be cataloged and made available for use. The large volume of CIP materials causes unacceptable delays in the cataloging of lower-priority materials, foreign-language materials are afforded insufficient resources, and the public is ill-served by the resulting delays.

(6) The Library does not emphasize the importance of minimizing the amount of time elapsed (throughput) time between the acquisition of an item and its availability, supported by completed cataloging or other means of identification and access, nor does it have target time frames for making acquisitions available for use.

Bibliographies

The Library does not have adequate resources for the compilation and production of bibliographies, guides, indexes, and similar finding aids that describe its collections. Such tools provide valuable access to collections, or parts of collections, that may never be adequately accessible through traditional bibliographic control methods; they have the further benefit of being widely distributable. There is no coordination of the work of "scholar-librarians" throughout the Library who are creating bibliographies for publication. Moreover, those who are engaged in compiling bibliographies lack a centralized source of technical support, including the automation of bibliography production. There appear to be no agreed-upon standards regarding formats, citation style, or annotations.

Preservation

Each day in its readings rooms, the Library serves many items in various states of deterioration to its readers. Such unrestricted access results in irreparable damage to irreplaceable items. The Library is not providing a proper physical environment for its own collections. There is no formal plan to safeguard the collections in the event of a major emergency. Authority and responsibility to coordinate and implement a systematic institutional approach are not clearly established. The Library has not undertaken systematic preservation surveys of its collections as a whole, nor does it actively monitor the rapidly deteriorating condition of the collections. There is currently no written short- or long-term preservation plan that outlines general criteria for preservation from an institutional perspective and that articulates a clear, prioritized, and effective program to preserve the extraordinary collections that have been entrusted to the Library's care. We do not know the extent to which many of the Library's

collections are at risk. We do not have sufficient resources to treat properly materials at the time of acquisition, where appropriate initial attention could reduce the need for later, more extensive treatment. We do not have adequate resources to apply preservation treatment to items from all Library collections.

No oversight above the division level exists for some preservation-related activities. The separation of the units dealing with optical disk preparation, motion picture copying, still photo preservation, and electronic imaging prevents them from working together on mutually beneficial undertakings in a fully effective way. The Preservation Office and the National Preservation Program have provided leadership in preservation, and major experiments like the DEZ mass deacidification project contribute to the advancement of the field. However, more could be done to advance the cause of the preservation of photographic materials, machine-readable collections, and motion picture and recorded sound collections. The dispersed nature of preservation activities has tended to interfere with the coordinated presentation of overall needs when resources are sought.

Certain topics related to preservation research have been investigated apart from the Preservation Office. Aspects of image and audio digitization and the use of optical disks have been study topics for other Library divisions. Particular research topics have not been selected in a way that takes Library-wide priority-setting into account.

It is not always possible to discover if a particular work has already been preserved-by-copying elsewhere in the United States (or the world, for that matter). There is a risk that the Library (or any other institution) will create a new surrogate when it would have been cheaper to purchase an already existing copy elsewhere. Scarce resources are wasted when two institutions microfilm the same book, copy the same theatrical motion picture, and so forth. Costs to copy motion pictures or other media items are astronomically high.

RECOMMENDATION SUMMARY

Arrearages

- *31. Make the virtual elimination of unprocessed arrearages a primary goal of the Library:
- Conduct a complete census of the Library's unprocessed arrearages of all types [DOC 31].
 - Develop for the Librarian's approval a detailed, long-range plan for elimination of the arrearages, including methods and resource estimates for the processing of each component [DOC 31].
 - Make the present situation clear to the Congress and obtain its ongoing support, including additional resources, for the accomplishment of this goal [DOC 31].
 - Act vigorously and creatively to obtain private funding for work on the arrearages. Sources to be investigated could be general interest (such as foundations) or closely linked to the materials in question (for example, support from Kodak for processing photographs) [DOC 31].
 - Enlarge the membership in the NCCP (National Coordinated Cataloging Program) if the results of the pilot NCCP are positive [DOC 32].
 - Use the cataloging on the bibliographic utilities in as many instances as possible when the LSP bibliographic record transfer is operational [DOC 32].
 - If the benefits outweigh the costs, rely on other libraries for CIP record creation or the upgrading of records [DOC 32].
 - Reallocate resources currently used for other programs, such as the National Union Catalog (pending the completion and analysis of pending studies of the NUC) to the cataloging of special collections and the arrearages [DOC 32].
 - Implement frequent reporting to all parties concerned about the size and composition of arrearages [DOC 31].

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32. As appropriate, continue to place parts of the Processing Services arrearages in the temporary custody of Research Services divisions until processing can be completed [DOC 31].
33. Consider placing some unprocessed materials at other institutions where they would be processed and made available for use, subject to conditions established by the Library, but would remain the property of the Library and could be recalled under certain circumstances. An example is the placement of the depression-era Federal Theater Project materials at George Mason University [DOC 31].
- *34. Require the preparation of an acquisition impact statement for contemplated extraordinary acquisitions. This statement would set forth plans for the extent and timing of processing to be provided and address all impacts the acquisition would have on processing resources, potential disruption of the processing of other materials, preservation requirements, space and equipment needs, and other pertinent information [DOC 31].
35. When appropriate, seek outside resources to assure the prompt processing of major gifts of materials for the collections [DOC 31].

Collection Development

- *36. Consider the following options in determining the macro-organizational structure:
- Make a single senior officer responsible for recommending and selecting functions that are performed throughout LC. This will most likely require some form of matrix management [DOC 33].
 - Make the Collections Development Office responsible for policy only [DOC 34].
 - Make the Collections Development Office an operating unit and assign it additional resources.
 - Assign authority for development of the law collections to the Collections Development Office.
 - Determine whether a new administrative location is desirable for the acquisition functions of the Deposits and Acquisitions Division of the Copyright Office [DOC 34].
37. Extend selection responsibilities to include recommending officers and other librarians. [DOC 33]. (While more subject and language expertise would be available, accountability and supervision would suffer.)
38. Establish the authority of field directors for selection decisions [DOC 33].
39. Appoint staff in departments other than Research Services, National Programs, and the Law Library who have subject, language, or special format expertise to serve as recommending officers [DOC 35].
- *40. Provide more support for recommending officers and continue to use their special subject, language, and format knowledge. To ensure accountability, include performance of recommending functions in annual performance evaluations [DOC 35].
41. Investigate the possibility of joint appointments. For example, subject catalogers would spend a portion of their time performing reference functions, including recommending [DOC 35].
42. Establish a dollar amount below which individual purchases do not have to be approved by the Collections Development Office [DOC 34].

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43. Collect in areas and at levels consistent with current Acquisitions Policy Statements [DOC 36]. (This would be an expansion from present practice because, for a variety of reasons, the policy statements are not strictly followed in all cases. Implementation of this recommendation must account for its impact on the arrearages and on other Library resources.)

44. Document, evaluate, and publicize within the Library all existing cooperative collection development agreements in which the Library participates [DOC 36].

45. Identify certain areas in which the Library might engage in cooperative collection development and begin a pilot project with another institution to include sharing of bibliographic information (the input of the other institution's holdings in the shared subject into the Library's data base); rapid document delivery; reference referral; cross-training of staff; and priority cataloging for items on agreed-upon subjects [DOC 36].

*46. Become full members of organizations involved in cooperative collection development activities (for example, the Research Libraries Group, OCLC, the Center for Research Libraries) in order to participate more fully in planning for resource sharing activities. Investigate formal cooperation with the Consortium of Universities of the Washington Metropolitan Area [DOC 36].

47. Identify areas for which cooperative collecting agreements can be reached with libraries outside the United States [DOC 36].

48. Sponsor a conference for scholars, librarians, and representatives of major scholarly organizations to consider how changing research methodology and information demands are affected by and affect cooperative collection development, addressing both national and international concerns, as well as the role of the Library of Congress in these developments [DOC 36].

Materials Processing

*49. Commit the Library to be a vigorous leader in implementing actions which will improve the effectiveness and efficiency of cataloging in general. Work aggressively within the field of technical processing professionals and organizations (for example, ALA, IFLA) to generate interest in a fundamental reexamination of the purposes and practices of cataloging. To meet operational goals, continue to develop and apply ways of refining the Library's own cataloging processes and products [DOC 37].

50. Conduct a comprehensive survey of parties involved in the CIP Program, to address such topics as uses and timeliness of CIP cataloging, representation of materials and publishers in the CIP Program, determination of cost of the CIP Program, sharing costs more equitably among participants, determination of the stage at which the record (CIP or full cataloging) is most useful to outside libraries and LC, sharing the responsibility for CIP cataloging among a consortium of libraries, and regular review of the CIP Program [DOC 38].

51. Develop and apply more effective approaches for LC's management of the CIP Program:

- a. Examine the validity of assigning priority 1 to all CIP items [DOC 38].
- b. Investigate performing the CIP verification process within the CIP Division to improve the timeliness of this function and lower its cost [DOC 39].
- c. Have the CIP Division create an in-process CIP record in APIF, working from the galley and any other material supplied by the publisher, to make a record quickly available [DOC 39].
- d. Permit participants in NCCP to perform CIP verification in those cases where they receive a

published copy before the Library does [DOCs 32, 39].

e. Investigate the feasibility of having some CIP cataloging done from galleys sent directly to other libraries. An example might be an NCCP library that would catalog the CIP titles published by that school's university press [DOCs 32, 39].

52. Consider the results of the multi-departmental review of the cataloging priority system (under way) when decisions are made concerning the options presented below:

a. Increase the staff of the Selection Office, both to provide broader linguistic competence and to provide more staff to examine the content of materials when assigning cataloging priorities.

b. Establish a mechanism for designating those subject and geographic areas which are of critical interest to the United States to receive timely acquisitions, cataloging, and related processing. Such subject areas would be considered high-need and would receive cataloging priority 1 or 2.

c. For all foreign publications, assign priority on the basis of content rather than language. Do not give preference to items in English.

d. Insulate CIP publications from the regular cataloging stream as much as possible, so that they do not interfere with other work [DOC 40].

*53. Adopt throughput time as a principal measure of the Library's success in materials processing. Establish specific target times for types and priorities of materials. Make continuing reductions in throughput times a major goal for the organizational units involved, and make accomplishments in pursuit of this goal an important factor in evaluating the performance of managers, supervisors, and journeymen employees. Regularly collect throughput data and publish it to affected organizations within the Library. Develop and implement systems for monitoring the movement of items through the processing workflow, detecting those which are moving more slowly than desired, and making adjustments to keep conditions within acceptable limits. Establish target ranges for throughput times for each cataloging priority. Establish and adhere to guidelines for the timely processing of nonbook materials which are acquired by the Library [DOC 41].

54. Develop a data-copying capability to permit the on-demand appearance of COPICS information on MUMS, and vice versa, within the resystemization effort. Only those data elements which would be useful would be copied to be used by the cataloger as the basis for a new catalog record [DOC 42].

Bibliographies

*55. Augment reference staff to allow reference librarians more time to work on compiling bibliographies as part of their regular duties, since reference, collection development, and bibliography are highly interrelated. Add to position descriptions for reference librarians and subject specialists, as appropriate, the responsibility for producing bibliographies. Augment technical support staff so that professional staff can spend more time on this duty [DOC 43].

56. Solicit ideas for appropriate and useful topics from Congress, scholars, librarians, and other interested parties outside of LC, perhaps associated with the Council of Scholars. Establish a program for visiting scholars to work on some of these, and/or other projects. In support of these efforts, aggressively seek outside funding sources [DOC 43].

57. Establish policies regarding the publication of bibliographies in the Library, to include standards and priorities [DOC 45].

58. Establish a central source where staff could obtain help in technical, editorial, and production matters relating to the compilation and production of bibliographies [DOC 45].

59. Increase the automated support for bibliography production [DOC 46].

Preservation

60. Consider preservation issues at each point at which readers, library staff, and materials come together [DOC 50]. Actions which should be taken include:
- Inspect and review materials from the general and special collections before delivery to readers, taking into account preservation concerns that are unique to a particular item or collection and enforcing any restrictions on use that might result from these limitations.
 - House materials delivered to readers in a manner that is suitable for service.
 - Create appropriate surrogates for service to users, making extensive use of current and emerging technologies.
 - Restrict unsupervised access to self-service copying machines [DOC 47].
61. Institute a Library-wide education program providing staff with information and guidance on preservation related issues, emphasizing the responsibility of staff members at all levels to preserve the Library's collections [DOC 47].
- *62. Address concerns about the environment in which the collections are placed by:
- Housing the Library's collections in suitable environments, with appropriate temperature and humidity controls, lighting, and air circulation and filtration systems.
 - Implementing an environmental monitoring program that combines regular sampling of air quality with periodic inspections of spaces where the collections are housed.
 - Eliminating environmental hazards that threaten the collections, starting with those in the various rare book areas, and protecting these areas with alternative, nonaqueous fire prevention systems [DOC 48].
- *63. Immediately prepare institution-wide as well as departmental disaster plans, clearly delineating responsibility, authority, priorities, and resources needed to carry out the program in case of disaster involving the collections. To assist the Library to complete this critical assignment as soon as possible, it is strongly recommended that specialists in emergency planning be engaged to help draft emergency preparedness plans [DOC 49].
64. Implement the recommendations outlined in the Report of the Task Force on Preservation Selection [March, 1988] [DOC 51].
65. Allocate adequate resources to apply necessary preservation treatment (to include housing) when items and collections are acquired by the Library [DOC 50].
- *66. Assign to the Preservation Office responsibility for providing overall direction for all preservation activities. Empower the Preservation Policy Committee to join in this all-encompassing concern; add members as needed to represent the neglected areas [DOC 52].
67. Focus institutional attention on the special needs in the area of film, broadcasting, and recorded sound. Encourage members of professional groups with a concern for library preservation to extend their concern to the preservation of media collections [DOC 53]. Consider moving toward a unified service facility with capabilities in the related areas of photography (motion picture, still, microform),

magnetic recording (audio, video, data), and electronic imaging (image scanning, storage, and so forth) [DOCs 52, 54].

68. Seek a management analyst's assessment of whether the Motion Picture, Broadcasting, and Recorded Sound Division Laboratory best serves the Library in its present setting, should be made more independent, or should be placed within the sphere of the Preservation Office. Look at matters of workflow, command and control, and overall customer base [DOC 54].

69. Establish a Pilot Preservation Project with Optical Disk, designed jointly by staff in ASO and the Preservation Office. Scan a selected body of materials which would normally be microfilmed for purposes of preservation and store their digitized page images on optical disk using our existing system to begin use of optical disks as a preservation medium and to begin practice of the principles of archive management which we have developed [DOC 55].

70. Allocate sufficient resources to conduct a microfilming program that responds effectively to both user and institutional needs [DOC 50].

71. Encourage the Preservation Office, the Preservation Policy Committee, and Library staff generally to identify areas in which preservation research might be beneficial. Draft a long-term plan for such research, including resources required and plans for obtaining them. Consider an annual review or discussion of potential research topics [DOC 56].

72. Continue to improve bibliographic control of preservation and access surrogates. Establish a register of document surrogates that could include locations for microforms, optical media, photocopies, and reprints [DOCs 50, 53].

The Libraries
Massachusetts Institute of Technology

THE MIT LIBRARIES AT THE BEGINNING OF THE 21ST CENTURY

-- A Strategic Plan

"It is vital that our young scientists and engineers -- and social scientists, architects, and managers -- be educated to meet the challenges of our world and our time. They must be prepared to address issues that are central to the preservation and enhancement of life and to consider critical questions about the interplay between science and technology and the social, cultural, environmental, and economic settings in which new scientific knowledge and technological applications are pursued."

-- Massachusetts Institute of Technology, Report of the
President for the Academic Year 1987-1988.

. December 1988

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THE MIT LIBRARIES AT THE BEGINNING OF THE 21ST CENTURY

Historically, the MIT Libraries have collected and preserved the record of knowledge relevant to the paths of inquiry taken by the faculty, students, and researchers at MIT. The volume of print material relevant to MIT programs is increasing dramatically. At the same time, more and more information important to MIT is being produced and distributed in electronic formats, with multiple paths of access to this information. The increasing creation, storage, and transmission of information in electronic form will enlarge and transform the Libraries as we know them. Electronic information will dictate new roles and relationships for the Libraries. By the beginning of the 21st century, the Libraries will have become an even more dynamic force in integrating information into education and research on the MIT campus.

The Library as a Place

At the beginning of the 21st century, the MIT Libraries as buildings housing physical collections with convenient spaces for users to consult those collections will continue to be important elements of the Institute community. The Libraries will continue to be a place for self-education and discovery outside the classroom and laboratory; they will continue to be a haven from the pressures of academic life and communal living. They will be a place of particular importance to students, as a part of the social and intellectual experience of an MIT education.

MIT scholars will continue to need to use the body of print materials collected by the Libraries. Indeed, as publishing on paper increases rather than declines, students and faculty will become increasingly dependent on the Libraries to acquire, preserve, and provide access to resources necessary to support research and teaching. The Libraries will also serve as a source of information about new technologies and as an access point to non-print materials outside the immediate holdings of the Libraries.

The MIT Libraries, as subject libraries close to their user communities, will retain the advantages of that physical closeness while, through technology, providing access to collections elsewhere at MIT and in the outside world. New "libraries" on campus in academic departments and research centers will be created as "electronic library modules", with small collections of current journals complemented by electronic access to and delivery of materials housed elsewhere and by online communication with subject librarians.

All materials will be represented in the online catalogue, including specialized materials such as archival and manuscript collections, maps, slides, machine readable data files and software. Through national and international cooperative programs for preservation and access, MIT users will be guaranteed access to any research materials required.

The Workstation as a Window on the Library

At any time of day or night, the Libraries will be accessible through a "window" on workstations on faculty desks and in student living quarters. MIT students, faculty, and researchers will have access to a package of information services, the Libraries' catalogue, and information in the larger world. Members of the MIT community will have electronic mail access to subject specialists and online expert system based research assistance. Access to abstracts, indexes, and full-text databases suitable to MIT will be provided through the Libraries electronic services. MIT users will be able to download information to their workstations or request delivery of hard-copy items.

Similarly, through the workstation window, MIT users will be able to browse regional, national, and international collections and databases, identifying and obtaining material of interest. Much of the information in databases will be textual and visual, in finished or in working form, and users' comments will become part of the text. Information about and access to unique and previously inaccessible collections will be routinely available.

By the turn of the century, hypermedia, simulation, expert systems and other emerging technologies will dramatically change the role of information in education and research. The Libraries, already the leaders in acquiring and organizing information, will become an even more significant resource for MIT faculty and students as they explore new information relationships made possible by technology.

The Librarian as Information Guide

By the beginning of the 21st century, the librarian will have become a more essential guide through the increasingly complex maze of information. Librarians will combine their subject knowledge with their skills in developing databases, designing retrieval systems, and organizing services to find the particular book, data, or image that meets the MIT user's need.

Librarians will have strengthened their working relationships with members of the MIT community and, through assistance in the identification and evaluation of information sources, contributed to the productivity of scholars and researchers. Librarians will assist the established scholar in keeping abreast of the dynamic information world and in making forays into areas beyond the particular scholar's immediate focus. Through course related and course integrated instruction, librarians will assist in the education of students in the structure of information in their fields, in finding cost effective strategies for retrieving that information, and in enhancing their ability to use information in life long learning.

Faculty and researchers will be able to subscribe to services which provide them with relevant information in their field in digitized form. Direct paper to disk copying will be available to augment this information with information from related fields. Librarians will play a strong role as intermediaries between the information user and the many potential information vendors.

The Libraries as an Organization

Within the Libraries, internal operations will be automated and all staff will use computers in carrying out their responsibilities. Staff will work in teams based on subject-targeted services and collections and on central support functions. Non-librarian managers will work side by side with librarians in the teams. Teams will design and use expert systems for straightforward procedures and services. Most cataloguing information for published materials will be derived from shared international databases. Librarians will apply their bibliographic expertise to providing access to materials created at MIT and unique materials in the collections, and providing specialized access to materials important to the MIT community.

The pace of change in the information world will require flexibility in assigning staff and resources. Continuing educational opportunities will be essential to enable the staff to stay abreast of new technologies and evolving user needs. Measures of the quality of access to materials will replace number of volumes in the Libraries as a yardstick for excellence. Intellectual rewards for MIT librarians will be defined in terms of success rate in matching MIT users with relevant information.

MIT LIBRARIES MISSION STATEMENT

To provide high quality services and collections to meet the needs of MIT's education and research programs. To provide a place conducive to discovery and self-education outside the classroom and laboratory. To share with the scholarly world at large the unique information resources of the MIT Libraries. To take an active role in cooperative efforts that insure access to and preservation of information resources for scholarly research.

A number of things are inherent in this statement. First is an acceptance that we cannot strive for self-sufficiency. Our ability to provide access to information is necessarily linked to national and international programs in information technology and the preservation of scholarly information. Secondly, our future depends heavily on the ability to apply technology effectively both to fill the information needs of users and to control the costs involved in operating a large research library.

For the foreseeable future, the Libraries will continue to maintain large print collections, particularly in support of the literature dependent disciplines, while moving ahead in providing technology based information services. It will be extremely important that we maintain close contact with our users - the faculty, research staff, graduate and undergraduate students - to identify their information needs and to tailor services to meet these.

Finally, a major part of our mission will continue to be to provide a place for independent study and learning. Our ability to do this relates strongly to our ability to provide space that is conducive to research and study.

In order to carry out this mission, the Libraries undertake a number of important programs:

- * Serve as a gateway to national and international information resources;
- * Provide access to information and materials in any format, especially electronic formats;
- * Provide a variety of services geared both to sophisticated and unsophisticated information users;
- * Develop and manage collections of materials which support the research and educational programs of the Institute;
- * Organize, arrange and preserve materials in logical and rational ways so that they can be found and used;
- * Maintain administrative systems which allow the MIT Libraries to function efficiently;
- * Provide an environment in which staff can reach high levels of achievement through development of their skills.

ORGANIZATIONAL VALUES AND PHILOSOPHY

While the basic mission of the Libraries has remained relatively constant, there have been a number of changes in both emphasis and direction. There has been a concomitant assessment of those elements in the organization, in the staff, and in the philosophy of service that are valued both individually and collectively.

Integrity of the Collections; Strong User Focus

Until now, our primary focus has been on developing strong research level collections and on creating the access tools for these collections (e.g. the catalogue). We will need to continue to insure the integrity of the collections, but at the same time recognize that increasing costs, increasing publication rates and limited funding will prevent us from purchasing many of the materials required to fill the needs of the MIT community. We must, therefore, provide a stronger focus on users' needs and design services which will identify information in whatever form it is available and provide access to it quickly, whether or not the information is contained in our own collections.

Creativity and Innovation

The environment in which the Libraries operate has changed rapidly, particularly as technologies have developed. There is every indication that change will continue and will accelerate over the next decade. It is important for the Libraries not only to react to change but also to influence, control and prosper with it. To do this we must place a high value on creativity and innovation in our staff.

Organizational Flexibility

In the future, it will be even more important for the Libraries to respond quickly to changes in the environment - new technologies and new opportunities for more effective service. We must develop realistic goals and standards appropriate to specific programs or activities and commit resources according to their impact on services. As an organization, we must be more experimental in our approach to services.

Caring for the Needs of the Staff

Finally, while we have always valued our staff, we recognize that the ability of the Libraries to change and grow is directly related to the quality of the staff. It is important that we create an environment where the staff can continue to develop and that we pay careful attention to their needs. We will need to provide support and opportunities for professional development and training to expand their capabilities.

The acceptance of the above values is essential for the Libraries to move forward as proposed in the strategic plan. While a collective sharing of these values is important, even more critical is the acceptance by each and

every member of the staff of her or his role in the overall scheme and the reflection of these values - every day, in every way. The complex set of relationships in which the Libraries operate requires that we also understand the key elements that characterize these values. Library Council has identified some of the factors that seem particularly valuable and important in the hierarchy of relationships, and these are included in Appendix B.

ENVIRONMENTAL ANALYSIS

The Libraries are affected by decisions and trends over which they have little influence. During the strategic planning process, we identified and examined three spheres:

the world outside of the Institute - other research libraries, higher education and technology;

the Institute itself outside of the Libraries;

the Libraries themselves.

We identified major trends which affect the Libraries and, in setting the directions for the future, took these trends into account.

Collections and Services

- * Identify user needs. Faced with a growing universe of available data in a variety of formats, research libraries will need to identify more precisely the needs of users and to structure, market, and deliver services responsive to these needs.
- * Emphasize access to information. There will be a greater emphasis on access to information and less of an attempt to build comprehensive collections. Rapid delivery of information to the user, often in electronic form, will become increasingly important.

Technological Developments

- * Exploit new technology. Newer technologies will provide faster and more comprehensive access to information but will not substantially replace existing formats and techniques in the foreseeable future, thus increasing the overall cost of operations. This will require innovative and imaginative budgeting and fund raising on the part of the Libraries.
- * Exploit local networks. The availability of personal computers and campus networks will present both an opportunity and a challenge for libraries as faculty, research staff and students become more information literate and as their requirements for information and document delivery become more sophisticated.

Education and Research at MIT

- * Target growth areas. A number of factors have impact on the Libraries: 1) the growth of teaching and research programs linking the School of Engineering and the MIT

Sloan School of Management; 2) the continuing expansion and diversity of research efforts in the life sciences; 3) major changes in the approach being taken to humanistic and social sciences education as part of the undergraduate curriculum.

- * Reading rooms. There has been a significant decline in the size and number of independent libraries and reading rooms over the last decade. This has placed heavier demands on the Libraries for materials and services.

Financial Outlook

- * Monitor economic pressures. For the immediate future, a variety of economic pressures will cause a steady erosion in the buying power of academic libraries: 1) the general inflation rate on both the operating and materials budgets, especially on serials; 2) the spiralling number of new serial titles and their introduction in new formats; 3) the weakness of the dollar on the foreign currency market; and 4) the decline of government sponsored research.
- * Reallocate resources. There will be a continuing shift of budget allocations away from staff and collections toward the support of automation, telecommunications, and contractual arrangements for information access. Since the Institute has traditionally funded salary increases but not inflationary increases for operations, this shift will place additional burden on an already strained operating budget.

COMPARISON WITH OTHER RESEARCH LIBRARIES

Focussing on qualitative rather than quantitative data, we identified a number of institutions which met one or more of the following criteria:

Is taking a leadership role among research libraries in using technology to provide innovative services;

Competes with MIT for students and faculty;

Has a strong emphasis on engineering and science, management, or architecture;

Has begun to redefine the role of librarians.

We interviewed library administrators and staff at Harvard University; Columbia University; New York University; AT&T's Bell Laboratories; Carnegie Mellon University; University of Pennsylvania; Georgia Institute of Technology; University of Chicago; Northwestern University; Purdue University; University of California, Berkeley; Stanford University; University of Southern California; and California Institute of Technology.

The information that we gained from these interviews has both validated the directions that we have identified for the MIT Libraries and has given us a sense of where we stand in relation to other libraries in adopting new technologies and adapting to change. The following are summaries of our findings.

The Library as Place

- * Georgia Tech, Cal Tech, Stanford, Pennsylvania, and Carnegie Mellon expressed concurrence with the concept of library as place. They view their libraries as rich learning environments for students, where information can be explored and assimilated to knowledge. Libraries are places to work on ideas individually, with librarians, with faculty, and with each other.
- * Chicago's and Harvard's comprehensive collections in elegant settings provide a locus of independent intellectual exploration. The physical layout of Chicago's libraries fosters communication between librarians and library users.
- * Satellite libraries on the USC campus replace book and journal collections with electronic access to an online catalogue, locally-mounted bibliographic databases, word processing and communications packages, and disk utilities.

The Librarian as Information Guide

- * The Bell Laboratories Libraries aggressively market services and they are exploring ways of communicating in the language of their clientele.
- * The libraries at Berkeley offer a seminar on managing personal information, both manually and electronically.
- * Georgia Tech has identified, as a result of their observations of library users accessing electronic databases, the need to take a more aggressive role in training.
- * Lippincott Library offers a library skills course as part of the Wharton School's "tool kit" course.
- * Stanford, Georgia Tech, and USC are exploring the concept of the "teaching library," a facility which will incorporate the new technologies in teaching and learning. At USC, this project represents \$50M of their current \$557M campaign.

The Staff

- * Berkeley has developed a "Training for Change" program for library staff. This program includes mastering the online catalogues, developing leadership skills, and communication skills. The operating philosophy of the program is that change is constant, that it is visible and hard to deal with, and that the staff must be educated in ways of understanding and handling change.
- * Harvard and Chicago have announced plans to improve librarian salaries significantly.

Development

- * New York University, USC, Chicago, Harvard, Stanford, Berkeley, and Northwestern have full time development officers in the libraries with close ties to institutional development offices.

Technology

- * After experience with partial online catalogues and based upon library user demands, retrospective conversion has been funded at Stanford, USC, and Cal Tech.
- * Columbia and USC have developed hypercard library skills applications.

- * Carnegie-Mellon, Bell Labs, Northwestern, and University of Pennsylvania envision a scholar's workstation, with electronic access to local and regional catalogues, external numeric and bibliographic databases.
- * USC, Stanford, Berkeley, Cal Tech, Georgia Tech, New York University, Columbia, Carnegie Mellon, Pennsylvania, Bell Laboratories, Northwestern, and Chicago provide access to their online catalogues via the campus network.
- * Providing access through the campus network to locally maintained, commercially available databases is a service of the libraries at Georgia Tech, Cal Tech, University of Southern California, Carnegie-Mellon, University of Pennsylvania, Berkeley, Bell Labs, and Purdue.
- * Berkeley, Georgia Tech, Stanford, Cal Tech, Pennsylvania, and Bell Laboratories have strengthened the library/community bond through the use of electronic mail systems to speed document delivery.

DIRECTIONS AND STRATEGIES

We have identified seven directions in which we need to move to make the strategic plan operational.

Services and Collections

The Libraries need to look at services and collections as a total package designed to support education and research, paying close attention to the unique needs of various disciplines and the role of the Libraries in enhancing undergraduate education.

- * Study information services, using existing information about users, collecting other necessary information, and identifying appropriate service points and levels.
- * Support a greater user orientation in the design of collections and services, with particular emphasis on defining the appropriate balance between access to information and ownership of physical collections.
- * In one online catalogue, provide information about all materials in the Libraries, regardless of medium or format.
- * Aggressively market library services to the user community, using existing channels such as The Tech, Tech Talk, cable TV, and the campus network, and creating new channels such as a faculty newsletter.
- * Promote interaction between librarians and faculty, students, and researchers through individual contacts, group meetings, and formal liaison relationships.
- * Intensify cooperation with other libraries in the region or with libraries strong in particular subjects important at MIT.

Technology

The Libraries need to move beyond the conventional boundaries which traditionally limit services. Stretching these limits is particularly important at MIT, where, increasingly, neither research nor learning are so limited. Innovative use of technology will aid the Libraries in extending those limits.

- * Provide electronic links between library staff, services, catalogues, and remote databases and library users.
- * Continue automation of internal library activities to support integrated services.

- * Exploit technologies such as telefacsimile, hypertext, and expert systems in a timely manner, using small-scale experimentation to reduce risk.
- * Collaborate in a more structured way with other information and computing organizations within and outside MIT.

Staff

The Libraries need to determine the skills and characteristics necessary to provide the kinds of service envisioned for the future and begin immediately to nurture and develop staff for their future role and to identify and hire staff with these skills and characteristics.

- * Insure that the salary structure for MIT librarians remains competitive with other research libraries
- * Develop personnel systems which encourage and reward creativity and innovation.
- * Provide greater attention to coordinated staff training and development.
- * Improve methods of attracting and retaining talented staff.
- * Build mentoring and coaching into the role of all library managers and supervisors.
- * Re-allocate staff as necessary to serve identified objectives.

Space

The "library as a place" is an important aspect of the Libraries' function. The library needs to serve as a place for self-education and discovery outside the classroom and a haven from the pressures of academic life and communal living. It needs to be a setting for forming social and intellectual bonds. Staff space needs to be made appropriate to the activities housed there.

- * Designate a person responsible for space throughout the Libraries and annually assess existing space in terms of failings and potentials, adequacy of equipment, furnishings, and signage, and take appropriate actions for improvement.
- * Take remedial action to improve the utility, comfort, and attractiveness of existing space for staff, users, and collections.
- * Consider the effects of technology on space requirements and use local expertise in adjusting space to new functions.

Finances

In an uncertain financial climate, the Libraries need to be more innovative and flexible in the allocation of existing resources and more aggressive and entrepreneurial in raising new resources.

- * Develop a discretionary fund out of existing resources equal to 1 to 2% of the annual budget that can be used to fund innovative services and new programs or to respond quickly to opportunities that become available.
- * Provide cost data on selected current operations and services and on all proposed operations and services; use that information in setting priorities and making decisions on resource allocation.
- * Develop a budget system that depends on the flexible allocation of existing resources based on identified needs rather than historical practice.
- * Aggressively pursue increases in income through fund-raising, grants, fees for service, and selling duplicate or out-of-scope materials.

Streamlining

The Libraries need to examine current activities regularly to determine an appropriate level of effort and consider what might be streamlined or eliminated, with the intention of freeing resources to be applied to the achievement of the Libraries' overall vision.

- * Identify and eliminate those activities that have become unnecessary as changes affect operations.
- * Continue and expand adherence to national standards to be able to participate in cooperative programs which allow increased services or cost savings.
- * Determine acceptable local standards for quality control, establish commitment to those standards, and revise procedures accordingly.

Systemization

The Libraries working as a system is important to establish common directions, to use library staff and resources in the most effective way, and to provide the best service to the entire community.

- * Continue emphasis on the system; establish closer working relationships and communication between and among functional areas, particularly between technical and public services.

- * Make good use of experts in the system, e.g. microforms, computing or preservation specialists.
- * Continue joint activities to counteract compartmentalization, especially at the Library Council level.
- * Increase the frequency of librarian staff meetings and full staff meetings.

CRITICAL EVENTS AND THE STRATEGIC PLAN

This plan is predicated upon a number of broad assumptions about technology and its impact on libraries; the educational and research programs of MIT; economic forces acting upon higher education in general, and on MIT and the MIT Libraries in particular; and the ability of the Libraries to generate both the intellectual and the financial capital to carry out the plan.

There are a number of possible events that could affect the speed and the direction of change. Those that would enable the Libraries to move ahead more quickly than the plan envisions are characterized as positive, while those events that retard progress or inhibit action, are negative. Some of the factors that would have a serious impact on the implementation of the plan follow.

Technology

Possible positive events:

- Capital costs for acquiring systems and equipment decrease.
- MIT assumes responsibility for campus telecommunications costs.

Possible negative events:

- New technologies do not replace old technologies quickly enough.
- The cost of new technologies increases at an unacceptable rate.
- The Libraries online system must be replaced earlier than presently anticipated.

Economics

Possible positive events:

- Endowment for the Libraries increases dramatically through the campaign.
- Grants and research contracts are obtained to support innovative activities.
- Inflation in the cost of library materials is reversed.
- The dollar strengthens abroad.
- New Institute programs bring new funding to the Libraries.

Possible negative events:

- Financial support from the Institute declines.
- Outside funding is not available.
- Inflation continues and/or increases in rate.
- The dollar declines in value.
- Sponsored research on campus declines to a point where there are serious effects on funding for the Libraries.

Institute

Possible positive events:

- Elimination of marginal programs provides the opportunity to concentrate resources and services in fewer areas.
- New programs build on areas of existing strength.
- Campus-wide coordination of information services.
- Reading rooms and departmental libraries replaced by electronic modules with financial support to the Libraries.

Possible negative events:

- New programs initiated without sufficient intellectual, physical (space) or financial support.

Libraries

Possible positive events:

- Streamlining and other internal changes generate additional personnel and financial resources.

Possible negative events:

- Organization is unable to sustain momentum required to carry out the plan.

ADVANTAGES AND LIMITATIONS

The previous section dealt with forces which may speed up, slow down or change the direction of the Libraries in implementing this plan. Most of these forces are outside of the Libraries and are not controlled by the Libraries. This section analyzes the Libraries' ability to move successfully into the future given our present strengths and weaknesses.

Services and Collections

Advantages: The decentralized organizational pattern of the MIT Libraries places us close to many of our primary users. The Libraries' collections philosophy is well developed and documented, and there are strong foundations for services and collections programs. A number of the collections are particularly strong (e.g. engineering, particularly electrical engineering and computer science, civil and mechanical engineering; chemistry; mathematics; aeronautics; management; linguistics; architecture; urban planning).

Limitations: A large segment of the active collection is still not represented in the online catalogue, making it difficult for users to find materials and inhibiting our ability to move into a totally online environment for bibliographic access. It is difficult to provide effective support for interdisciplinary programs without expensive duplication. There are not yet effective collection and use assessment tools, and it is therefore difficult to make valid judgements about overall program effectiveness. Resources limit our ability to translate a strong user service orientation into a strong user service program.

Technology

Advantages: BARTON is a strong system which allows good access to the collections and will provide operational support for the next several years. We have been successful in implementing new technologies (e.g. BARTON, online reference and database searching, videodisk, microtechnology). We are involved in national technological efforts and are affiliated with regional and national networks.

Limitations: Introducing technologies is expensive and frequently requires large capital investments with little or no immediate savings. New technologies may hasten the obsolescence of older ones, but fail to replace them, and they end up existing side by side. The campus network is still not a reality. The vendor world remains uncertain and unstable.

Staff

Advantages: The staff has a strong desire to learn and grow. Most of our staff are knowledgeable and capable. The high turnover of the past few years has enabled us to hire a number of new staff who have broad backgrounds, varied experiences, new ideas and enthusiasm.

Limitations: Change will necessitate increased levels of staff development and training to generate a greater degree of innovation and flexibility in

planning and decision making. The personnel classification system for support staff is compressed, making it difficult to recognize staff who take on broader responsibilities. Salaries are compressed and are low, considering the high cost of living in the Boston area.

Space

Advantages: The two-tiered storage program has enabled us to develop a long range plan for collection growth. We have some very attractive or potentially attractive spaces (e.g. Barker Library Reading Room, Schering-Plough Library, Hayden Reading Rooms, Dewey Library, the new Rotch Library).

Limitations: The RetroSpective Collection (housed in N57) and the Aeronautics/Astronautics Library are environmentally inadequate. Many staff spaces are overcrowded and not well suited to present use. Because of their age, few library spaces are flexible enough to accommodate new technologies easily.

Finances

Advantages: We have a great deal of flexibility in allocating funds. We use office automation effectively to gain better control over our finances. We have had some limited success in fund-raising ventures and have a good track record in administering grants.

Limitations: All of our resources are stretched. It is difficult to raise the capital necessary to purchase the equipment we need to work efficiently or to affect change. Inflation affecting the publishing industry continues to exceed the general rate of inflation. We continue to be vulnerable to international monetary developments, as well as domestic political and economic environments.

Streamlining

Advantages: Automation has allowed and even facilitated simplification of processes and the elimination of duplicate activities.

Limitations: Our physically decentralized organization, while convenient for users, leads naturally to duplication in services and facilities. There are a number of labor intensive activities which need to be reviewed.

Systemization

Advantages: There is a growing sense of oneness, of being part of a system, on the part of the staff. The department heads have grown into an effective management group which will facilitate the implementation of change.

Limitations: The advantages of system-wide standards and uniformity must be balanced against the benefits of responding to the needs of a single discipline or user group.

RESPONSIBILITY FOR IMPLEMENTATION

Implementation of the strategic plan will occur on two levels - one emphasizing specific actions and the other stressing philosophical change. We have developed a set of action plans that are focussed on the next five years. These appear as Appendix A. Completion of these will move us toward the 21st century. Equally important, however, is the development of a new philosophy of service and an organizational climate that promotes innovation and creativity.

While the Associate Director for Systems and Planning has responsibility for developing planning and implementation processes, successful implementation depends on commitment to the substance of this plan by the senior administrators, managers, supervisors and staff of the Libraries. The Director will communicate the plan to the MIT administration, the faculty, and the rest of the MIT community. The Director and other senior library administrators and managers will incorporate the substance of this plan into the culture of the Libraries and will implement this plan on an operational level.

CURRENT INITIATIVES

A number of actions have already been taken and a number of decisions made that will have a major effect on the implementation of the MIT Libraries Strategic Plan over the next two years and beyond:

1. The serials cancellation project completed over the summer resulted in the cancellation of about 700 titles with a total cost in FY1989 dollars of \$170,000. While most of these funds were used to close the budget gap, some funds were allocated to the monographs budget and some funds were allocated to new serial titles. \$40,000 was designated for the FY1989 budget to support three types of programs:
 - A. Undergraduate Programs: art, foreign languages and literature, music, theater arts, psychology, women's studies, general science and general engineering and technology.
 - B. New and Expanding Programs: artificial intelligence, history of science/technology, law, manufacturing and engineering, neurosciences, plant biology, robotics.
 - C. Continuing Programs: chemical engineering, environmental policy, linguistics, management, materials science, philosophy.

All of the above areas require additional support for the acquisition of new books. The Libraries' monograph budget has not grown to meet either inflation in prices or the increased number of new titles appearing each year. In addition, subjects in the first two categories are receiving greater emphasis at the Institute. In future years, these funds will be shifted to other subjects as our ongoing monitoring of the educational and research environment at the Institute dictates.

2. Negotiations will begin shortly with Geac Computers Inc. relative to the expansion of the online information system. The acquisition of a Geac 9000 computer, coupled with the existing Geac 8000, will greatly expand the capacity of the system and will enable us to increase the number of terminal connections, mount an acquisitions system, and provide access from the campus network. Funds for this expansion will come from a grant from the Booth-Ferris Foundation and from the Libraries' budget. In addition, approval was received from CRSP for the renovation of the computer room including a new air handling system that is required for support of the new, larger computer.

3. Acquisition of CD-ROM databases continues and it is expected that all of these will be operational before the end of the academic year. The Academic Index and Books In Print (Humanities) and Lotus One Source Corporate (Dewey) databases have been available for several months. Subscriptions have been entered and equipment and furniture ordered that will result in the installation of the Science Citation Index (Science), National Technical Information Service (NTIS) (Engineering), Public Affairs Information Service (PAIS) (Dewey), Art Index and Super Map Census File (Rotch). Funding for this effort is a combination of support provided by the Provost in the FY89 budget and money generated by the Libraries through the serials cancellation project and from the sale of duplicate sets of Chemical Abstracts.
4. The Libraries have begun offering a literature searching service for undergraduates writing senior theses. We will provide up to \$50.00 free searching (connect time and printouts) to each student. We are working through departmental undergraduate officers and advisors to identify seniors whose work would benefit from online literature searches. We will also publicize the availability of this service to the undergraduate student community in general. Funds for this new service (\$10,000) came from an increase in the annual Industrial Liaison Program transfer to the Libraries.
5. A task force will shortly undertake a full scale study of serials check-in in the MIT Libraries with an eye toward streamlining the process and eliminating duplicate activities. The group will also investigate the possible use of automation in this area.
6. The Libraries will submit a number of grant proposals over the next several months:
 - A. A preservation grant to the National Endowment for the Humanities for the microfilming of historically important journals in engineering and architecture. The material is in deteriorating condition and is important to the study of the history of technology and architecture at both the local and national levels.
 - B. The Institute Archives will submit a grant to the Sloan Foundation for the organization and cataloging of a number of collections in the areas of international security and telecommunications.
 - C. A grant will be resubmitted under the Title II-D program that supports interlibrary loan and telefacsimile activities among the libraries of Brown University, Dartmouth College, and MIT. The

proposal submitted in FY88 received a high score but was not funded because of budgetary limitations. Comments received from evaluators encouraged us to reapply for funds.

7. Planning continues for the addition to Rotch Library. Once construction commences, plans will have to be developed for the filming of portions of the Rotch card catalogue, for operation of the library during construction and especially during the renovation of the Building 7 portion, and for transfer of material back to Rotch from the RetroSpective Collection.
8. The space change request for Dewey Library that was submitted to the Provost in the fall will be resubmitted in September, 1989. The project would result in new and improved facilities for users for microforms and computer workstations, a new reading area on the second floor, and new staff offices for librarians.
9. Agreement has been reached with Project Athena for the installation of Athena clusters in the Barker Engineering Library and the Hayden Library basement.
10. A proposal has been made to the Media Laboratory for the development of an electronic library module in the Wiesner Building. A memorandum was also sent to the Director of Planning proposing an electronic library module in the new Biology building.

MAJOR NEW INITIATIVES

As a result of the strategic planning process just completed, the MIT Libraries have generated a long list of activities, projects, and studies that will be undertaken over the next five years (see Appendix A). Many of the programs require no additional funding. Almost all of the projects and activities that do require additional resources will be supported by the reallocation of existing resources, by foundation and government grants, or by a combination of the two. There are, however, two major efforts that are among the highest priorities for the Libraries and for which additional funding is required. The two programs are retrospective conversion and databases on the campus network.

Retrospective Conversion

The implementation of the MIT Libraries' online information system, Barton, has revolutionized the way that students, faculty and staff locate material in the collections. The availability in machine readable form of bibliographic records for approximately 25% of the collection has greatly increased the usefulness of these items through the provision of many more points of access and more sophisticated searching algorithms. The database currently contains about 400,000 records representing all books, serials, theses, and MIT reports received since 1974 as well as records for materials on order and in process. In addition, records for some earlier material have been added, including: (1) all currently received serials; (2) all MIT publications; (3) monographs in computer science, energy, environmental science, history of technology, technology transfer, and applied genetics. Conversion of the latter two categories was funded through a grant from the U.S. Office of Education.

The next major effort in enlarging the database is the conversion of the remaining bibliographic records covering the period 1964-1974. The transfer of these records to Barton would mean that patrons would have only one place in which to look for material acquired since 1964 when MIT closed its Dewey Decimal Catalogue. It would also make possible the elimination of ten card catalogues in the divisional and branch libraries.

The rationale for undertaking this program is as follows:

1. Library users would benefit from having a larger critical mass of bibliographic information accessible in one file. Since the advent of the online system, patrons have shunned the conventional card files. Having approximately 30 years of acquisitions in machine readable form will meet a much higher percentage of the needs of our user population. We estimate that over 90% of the materials currently used would be listed in a catalogue covering the period 1964 to date.
2. Within the next year we expect to provide remote access to the online catalogue through the campus network and through dial access. Students and faculty using the online catalogue from dormitories and offices will not have access to card catalogues. Thus it is crucial to expand the coverage of the online catalogue.

3. The elimination of the card catalogues will free resources that can be used for other purposes. These include equipment (catalogue cases), space, and staff costs for maintenance. The alternative of filming the catalogue is costly, cumbersome, and intellectually inferior.
4. Almost all of the research libraries visited by members of the Planning Team have been or are engaged in massive retrospective conversion programs. Our colleagues recognize, as we do, that scholars on their respective campuses need unified online bibliographic access to the libraries' collections. Both USC and Stanford, for example, have received major funding from their universities for these projects.
5. This would be the first important step toward our ultimate goal of having all existing bibliographic records in Barton. We plan to convert the pre-1964 portion of the collection after the 1964-1974 project and over a much longer period of time. Records for those materials, however, are in a microfiche catalogue and they require neither staff support nor very much space.

The availability of large national files of bibliographic records in machine readable form and the existence of a national bibliographic utility - OCLC, the Online Computer Library Center - make a major retrospective conversion project at MIT economically and technically feasible. It is now possible to convert large amounts of bibliographic data by machine matching. We are proposing a project to convert a large percentage of the records from 1964 to 1974 in this manner, adding an MIT holdings notation to the national database. We will convert manually those records which have no machine match. The entire MIT database will then be machine processed for authority control to insure the consistency of headings.

Databases on the Campus Network

Within the next year, and most likely within six months, the Libraries' online catalogue will be available on the MIT campus network. At the present time there are approximately 1,700 machines connected to the network among which are some 400 Athena terminals serving 3,000 different undergraduate students. There are also links to the Laboratory for Computer Science, the Space Center, the Department of Mathematics, and the Media Laboratory. Personal computers not currently linked to the network will have that capability in the near future.

The Director of Libraries and the Vice President for Information Systems and their staffs have been investigating the potentiality of adding one or more external databases to the network in order to increase the information resources available to the MIT community and to exploit the advantages of this new technology. The following is a joint proposal from the Libraries and Information Systems.

We propose mounting two major databases on the campus network. One of them would be aimed primarily at undergraduates and the other at a wider community but more focused on the research needs of faculty and graduate students.

The undergraduate database would be composed of files from either the Information Access Company (IAC) or H.W. Wilson Company. IAC's files include Computer Database, Magazine Index, Management Contents, and National Newspaper Index. Wilson's files include Humanities Index, Social Science Index, Art Index, Applied Science and Technology Index, and Business Periodicals Index. The Libraries' collections include the majority of titles covered by these services. The availability of these indexes on the network would assist undergraduates in thesis research, in writing term papers, and in essay writing in courses in the arts, humanities and social sciences.

The research database that we would mount is Current Contents. There are seven editions or sections, all of which would be available online: agriculture, biology and environmental sciences; social and behavioral sciences; clinical medicine; engineering, technology and applied sciences; life sciences; physical, chemical, and earth sciences; arts and humanities. There are about 6,500 unique journals covered by these files. The system can be programmed to highlight MIT holdings; we have most of the journals indexed except in areas such as agriculture and clinical medicine.

The scanning of tables of contents of current journals has been demonstrated to be of great interest to the MIT community as evidenced by the use of the printed versions of Current Contents. Faculty members have confirmed their interest in this service and the Faculty Committee on the Library System supports this proposal enthusiastically.

The availability of this information online coupled with sophisticated searching capability (by journal, by author, by subject) and a document delivery service would be very attractive to a large number of users. We plan to provide online ordering both through the Microreproduction Laboratory for material owned by MIT and through interlibrary loan for items not in our collections.

FIVE YEAR PLAN

During the course of the planning process, we identified a number of activities to be carried out over the next five years, as well as several that could be undertaken prior to July 1, 1989.

FY 1989 (Year 0)

Services and Collections

Begin to increase the effectiveness of reference librarians by developing "reference assistant" positions to perform the clerical and technical aspects of reference and information services. (Funding: reallocation.)

Provide some telephone reference service during evening and weekend hours for routine Barton questions. (No funding required.)

Technology

Identify and develop additional expertise in microcomputer technology on the staff and provide additional support for the use of microcomputers. (Funding: existing resources.)

Begin to use facsimile transmission more widely in document delivery and interlibrary loan. (Funding: existing resources plus possible grant funding).

Install Athena clusters in the Barker Library and in the Hayden Library Building. (Funding: existing resources plus Athena hardware support.)

FY 1990 (Year 1)

Services and Collections

Carry out a formal study of information services. This study will include staffing and hours of service, the organization of services, and levels of service. We will identify the needs of various user groups, particularly undergraduates and interdisciplinary research groups and will look at the differences between the needs of faculty and researchers in various disciplines. (Funding: existing resources.)

Begin retrospective conversion project to be carried out over three years. Project will include all monographs not currently in the online database acquired since 1964, the year MIT began using the LC classification system;

all serials received from 1964 onward not represented in the database; all theses since 1964. (Funding: new funding required plus use of existing resources.)

Begin to integrate the philosophy of access to information in lieu of ownership of information into collection management decisions and ongoing operations. Begin to develop better document delivery mechanisms that will accommodate this philosophy. (Funding: reallocation.)

Develop a more formal method of data gathering and analysis concerning Institute programs which can support an ongoing planning process. Acquire strategic and five year plans from the schools and other Institute departments. (Funding: existing resources.)

Begin to develop expertise among staff members in instructional technology and build these skills into future recruitment efforts for new public services staff. (Funding: existing resources.)

Continue to work toward integrated access to materials regardless of their format. (Funding: existing resources.)

Technology

Implement an upgraded automated system that will support additional public access terminals and additional functions. (Funding: funded partially by a grant from Booth Ferris, partially from the Libraries' budget, and partially by an Institute space change. Continuing costs to be funded through reallocation.)

Begin implementation of an automated acquisitions system, including an online fund accounting system. (Funding: new funding required for capital equipment; other funds to be reallocated.)

Link the Libraries' staff, services and catalogue to the Institute's network to provide access from faculty offices, laboratories, dormitories, etc. (Funding: existing resources plus support from Information Systems.)

Identify and mount commercial databases on the campus network, highlighting citations for materials owned by the Libraries. (Funding: new funding required, supplemented by existing library budget with support from Information Systems.)

Plan for the development of electronic library modules in appropriate locations on campus. Place one or two test modules. (Funding: new funding required for capital equipment.)

Begin long range planning for automated authority control system. An initial authority control step will be carried out as part of retrospective conversion. (Funding: existing staff will develop plan.)

Staff

Develop non-librarian supervisory positions to delegate full authority for running day to day operations to current support staff section head positions. This will allow better use of librarian staff. Continue to address equity issues for both support staff and librarians. (Funding: promotion of existing support staff positions funded by library budget; new funding would be required for equity increases.)

Do more active and competitive recruiting, particularly for minority librarians, and speed up recruitment. (Funding: no new funding required.)

Promote discipline oriented staff developmental opportunities. (Funding: no new funding required.)

Encourage junior staff to do research, publish articles and present conference papers. (Funding: no new funding required.)

Promote reporting on our own innovative projects both to the Institute community and to the outside professional world. (Funding: no new funding required.)

Space

Continue to make limited improvements in Building 14. Develop plans for the refurnishing and some renovations in Technical Services. Continue to improve staff offices in the Science Library. (Funding: existing library budget to fund furnishings; Institute space change support required for renovations.)

Complete the Rotch Library addition; repair windows and upgrade air handling systems in Building N57; and air condition the Aeronautics and Astronautics Library. (Funding: Institute funding required.)

Create a microform area and staff offices in the Dewey Library. (Funding: Institute space change required for renovations; furnishings and equipment funded by library budget.)

Finances

Complete the feasibility study for a fee-for-service operation and implement its recommendations. (Funding: some new funding required for start up costs; on going costs to be funded from income produced.)

Concentrate more heavily on fund raising activities. Identify fundable projects; network with other fund raising and development librarians; showcase successful projects to encourage new and additional donations. (Funding: no new funding required.)

Identify unneeded duplicate materials which could be sold and use the income from sales to augment collections and services. (Funding: no new funding required.)

Streamlining

Establish reasonable standards and goals for quality that take into account the impact of activities and services on users and as well as the cost of quality control. (Funding: no new funding required.)

Study the possibilities of eliminating duplicate serials check in and implement the findings of that study. (Funding: no new funding required.)

Examine procedures for their usefulness, cost/benefit ratio and possible redundancy and eliminate them as possible. Look closely for work which can be eliminated in all departments. (Funding: no new funding required.)

Systemness

Increase the number of full staff meetings and of librarian staff meetings. (Funding: no new funding required.)

Form a permanent group consisting of technical services, public services and collections administrators, with meetings on a regular basis to discuss policy issues. (Funding: no new funding required.)

FY 1991 (Year 2)

Services and Collections

Implement the recommendations resulting from the information services study. (Funding: unknown, but expected to be funded largely through reallocations.)

Continue retrospective conversion project (cf. Year 1). (Funding: continued from year 1.)

Identify and respond to the collections needs of undergraduates. (Funding: new funding required.)

Re-examine and redefine the policies related to the storage of materials, incorporating policies for weeding, location, preservation, retrospective conversion and service. (Funding: new funding required.)

Technology

Complete implementation of an automated acquisitions system (cf. Year 1). (Funding: no new funding required.)

Finance

Work with the Development Office to identify potential naming projects for the Libraries. (Funding: no new funding required.)

Services and Collections

Complete the retrospective conversion project (cf. Year 1). (Funding: continued from year 2).

Review and redefine the collecting responsibilities of the divisional libraries for interdisciplinary subjects and reallocate the collections budget accordingly. (Funding: no new funding required.)

Complete the development of a sophisticated user interface to the library and information programs on the campus network and implement it. (Funding: development funded by a grant with support from Information Systems.)

Investigate the possibility for advanced cooperative programs using technology between Brown, Dartmouth and MIT that will expand access to information for users. (Funding: new funding may be required but has potential for outside funding.)

Improve bibliographic access to non-print collections and begin to add information records into Barton for materials in local collections. (Funding: reallocation.)

Look for ways to develop stronger ties to users. Link library and information services directly to research programs and projects. Develop formal liaisons with various user groups and departments. (Funding: no new funding required.)

Do a marketing study to determine the best strategies to communicate with potential users about library and information services. Publicize existing services for most effective use. (Funding: no new funding required.)

Technology

Investigate online serials control systems. If any are appropriate, begin the planning for purchase and installation. (Funding: no new funding required for planning; new funding will be required to purchase and install a system, but some may come from reallocation.)

Participate with the Boston Library Consortium in exploring the use of technology to link online public catalogues of BLC libraries. (Funding: outside funding required for linkage.)

Staff

Appoint a staff development and training officer. (Funding: reallocation.)

Space

Appoint a facilities officer and carry out a space audit to determine the use of space, its failings and current potentials. Build this audit process into the planning/budget cycles. (Funding: reallocation.)

Develop standard signage across the library system. (Funding: existing library budget.)

Streamlining

Investigate the use of minimal cataloguing and collection-level records. (Funding: no new funding required.)

FY 1993/1994 (Years 4 and 5)

Technology

Plan for the implementation of an automated serials control system (cf. Year 3). (Funding: unknown, but may require new funding.)

Investigate the possible uses of expert systems and other developing technologies for augmenting services or improving operational capabilities. (Funding: unknown.)

Staff

Develop a program to permit part-time staff exchanges and rotational opportunities to support staff development. (Funding: no new funding required.)

Space

Develop standards for the use of space for particular technical functions. (Funding: no new funding required.)

ORGANIZATIONAL VALUES AND PHILOSOPHY

In the process of developing this strategic plan, considerable attention was given to the matter of organizational values in the MIT Libraries. While the basic mission of the Libraries remains relatively constant, there have been a number of changes in both emphasis and direction and a concomitant assessment of those elements in the organization, in the staff, and in the philosophy of service that are valued both individually and collectively.

A number of themes emerged from the planning process from which one can derive a sense of the change in values that is shared by members of Library Council and that needs to be imparted to and inculcated in the rest of the staff.

- * The need to develop a stronger focus on service.
- * The need to continue to insure the integrity of collections.
- * The need to improve the quality and level of communication both within the Libraries and externally.
- * The need to encourage and reward creativity among the staff including a willingness to take risks in a positive environment.
- * The need to develop a more flexible approach to change.
- * The recognition that to create an environment in which these values are prized, there must be careful attention to the needs of the staff to help them realize their potential.

The general acceptance of the values outlined above is essential if the Libraries are to move forward as proposed in the strategic plan. While a collective sense of sharing them is important, even more critical is the acceptance by each and every member of the staff of her/his role in the overall scheme. The complex set of relationships in which the Libraries operate requires that we also understand the key elements that characterize them. Library Council has identified some of the factors that seem particularly valuable and important in the hierarchy of relationships:

With the Outside World

MIT's reputation and image and the MIT Libraries' inclusion therein.

The MIT Libraries as a laboratory for research and development in library and information science.

Participation in the education of library and information professionals.

Part of a national and international network of research libraries.

Involvement in the effective sharing of resources with other libraries.

Competing successfully with other information providers.

With MIT as the Parent Institution

Institutional loyalty.

Recognition of the value of the Libraries' contributions to education and research at MIT.

Intellectual and fiscal accountability.

Sensitivity to change and political astuteness.

Appropriate relationship with other information providers through networking and cooperation.

With the Libraries' Patrons

Strong focus on timely and effective service.

Support of all Institute activities: education, research, administration.

Protection of intellectual freedom for both the individual and the Libraries.

Maintain the integrity of the collections through a balance of acquisition and access.

Preservation of collections and maintenance of physical space.

Provide access to the staff, to services, and to collections.

Respond to changing population and changing information needs.

With the Libraries as an Organization

Importance of efficiency and of quality.

Tolerance for ambiguity and willingness to accept less than ideal.

Importance of continuity and stability.

Need for adequate control and good communication.

With the Libraries as Decision-Making Entity

Keeping a system-wide perspective.

Respond to need in a timely and effective manner.

Delegate responsibility and authority.

Maintain flexibility.

Document policy decisions.

With the Libraries as Employer

Development and nurturing of staff.

Encourage staff participation in decision formulation.

Provide good psychological and physical environment.

Recognize contributions and accomplishments.

Provide an equitable salary structure.

Support equal employment opportunity and affirmative action.

With Each Other

Openness and honesty balanced with sensitivity.
Collaborative, cooperative, consensus-building environment.
Mutual respect.
Equity and fairness in conflict resolution.
Objectivity in problem solving.

In Ourselves

Sense of accomplishment.
Professional attitude.
Individual development.
Self confidence and self esteem.
Outside interests.

As a Staff

Intelligence and competence.
Energy, enthusiasm, and a friendly perspective.
Willingness to share knowledge and ideas.
Willingness to accept constructive criticism.
Commitment to the Libraries.
Creativity and innovation.
Experimentation and risk-taking.
Sense of humor and positive perspective.
Technological sophistication.

CHRONOLOGY OF THE PLANNING PROCESS IN THE MIT LIBRARIES

- June 18-19, 1987 Library Council Planning Retreat, led by Duane Webster of the Association of Research Libraries, to develop a model for planning for the Libraries and to learn more about strategic planning as a technique.
- August 1, 1987 Amira Aaron, the Systems Librarian, named Associate Director for Systems and Planning and chair of Planning Team.
- September, 1987 Planning Team appointed and charged with carrying out the planning process to develop a strategic plan by December 1988.
- November, 1987 Planning Team subgroups established to carry out an environmental scan. One group appointed for each of the following areas: within the Libraries; within the Institute but outside the Libraries; outside the Institute. Met with Doreen Morris, Executive Assistant to the Provost and the Senior Vice President, to discuss planning in the Institute.
- December, 1987-
March 1988 Subgroups developed documentation; interviewed library staff, Institute staff and some selected experts outside the Institute.
- March 1988 Planning Team presentation to the Corporation Visiting Committee. Reactions from the Visiting Committee positive, but encouraged the Team to accelerate the process. Amira Aaron announces resignation; Thomas Wilding appointed chair of Planning Team.
- April 1988 Planning Team met with Jerome Yavarkovsky, State Librarian of New York and member of Visiting Committee, to discuss ways to accelerate the process without forfeiting its integrity.
- May 1988 Planning Team began working in day long retreats, two to four days per month. Plans made for the remainder of the process.
- June -
November 1988 Planning Team led a discussion with Library Council about organizational values. Planning Team organized a two day retreat to develop most of the substance of the plan - the vision of the Libraries in the future, the directions and strategies needed to achieve the vision, and a new mission statement. Continued to meet with Council regularly to discuss and review elements of the plan and to develop plans for implementation.

July 1988	Planning Team met with the staff in small groups to share information about the process and the new directions and values that were identified in the planning process. Planning Team continued to meet with Library Council to identify specific action plans that could be followed in implementation. Met with Doreen Morris to get feedback on overall direction of the process.
August 1988	Planning Team met with the Director to begin to identify priorities and resources required to carry out the plan.
September- October 1988	Planning Team members identified and visited other research libraries to test the validity of our own plans and to determine what other major libraries were planning.
October- November 1988	Planning Team worked with Director and Steering Committee to develop the substance to be included and to draft and re-draft the plan itself.
November 1988	Reviewed the process and presented some elements of the plan to the Faculty Committee on the Library System.
December 1988	Plan submitted to the Provost with budget proposal.

ACKNOWLEDGMENTS FROM THE DIRECTOR OF LIBRARIES

The planning process that resulted in the creation and publication of this document was developed and managed by a Planning Team consisting of six members of the Library Council. Members of this group planned and carried out the environmental scan; a presentation to the Libraries' Visiting Committee; several Library Council retreats and numerous Library Council discussions; and the series of visits to other libraries summarized in the document. The Team was responsible for setting up the format and content of the final report and collaborated in its writing and editing. I am deeply grateful to the members of the Planning Team for their innovation, dedication, and perseverance in seeing the planning process through to a successful conclusion. In particular, I would like to acknowledge the leadership provided by Thomas L. Wilding, chair of the Planning Team for the past eight months.

Planning Team

Amira Aaron, Associate Director for Systems and Planning
(chair, until March, 1988).

Shirley K. Baker, Associate Director for Public Services.

Jennifer S. Danks, Preservation and Collections Librarian.

David S. Ferriero, Humanities Librarian.

Marilyn G. McSweeney, Head, Acquisitions Department.

Thomas L. Wilding, Senior Associate Director and Associate Director for
Administration (chair, from March, 1988).

In addition, I would like to express my appreciation to the members of Library Council for their participation, input, and support during the planning process, and to the many members of the Libraries staff who participated in discussions and reviews of the plan and on task forces.

The following members of the MIT administration, faculty, and staff provided valuable information and advice in the preparation of the strategic plan:

Walter Bender, Principal Research Scientist, Media Laboratory; James D. Bruce, Vice President for Information Systems; Muriel Cooper, Professor of Visual Studies and Director of the Visible Language Workshop in the Media Laboratory; John A. Currie, Director of Finance; Andrew Lippman, Associate Director, Media Laboratory; Margaret MacVicar, Dean for Undergraduate Education; Richard Marcus, Principal Research Scientist, Laboratory for Information and Decision Sciences; Doreen Morris, Assistant to the Provost and Senior Vice President; Frank E. Perkins, Dean of the Graduate School; Kenneth A. Smith, Associate Provost and Vice President for Research.

Jerome Yavarkovsky, State Librarian of New York and member of the Libraries' Visiting Committee, met with the Planning Team and provided useful guidance on the planning process.

Finally, we are grateful to the administration and staffs of the following libraries for their time and hospitality as hosts for visits by Planning Team members: Bell Telephone Laboratories; California Institute of Technology; Carnegie-Mellon University; Columbia University; Georgia Institute of Technology; Harvard University; New York University; Northwestern University; Purdue University; Stanford University; University of California, Berkeley; University of Chicago; University of Pennsylvania; University of Southern California.

The Libraries
Massachusetts Institute of Technology

MIT LIBRARIES STRATEGIC PLAN
1991 Update

New Issues

- Assessing User Needs
- Academic Computing in the 1990's and Beyond

Progress on the Strategic Plan in 1989/90

Current Initiatives

Appendices

- A. Environmental Analysis (updated)
- B. Comparison with Other Research Libraries (updated)

December 15, 1989

NEW ISSUES

Assessing User Needs

The Libraries' Strategic Plan emphasizes a strong user focus in the provision of library services and calls for a program of identifying user needs and assessing the value of existing services. Toward this end, the plan calls for the following actions:

"Study information services, using existing information about users, collecting other necessary information, and identifying appropriate service points and levels.

Support a greater user orientation in the design of the collections and services, with particular emphasis on defining the appropriate balance between access to information and ownership of physical collections."

Specifically, there is a charge to:

"Carry out a formal study of information services. This study will include staffing and hours of service, the organization of services, and levels of service. We will identify the needs of various user groups, particularly undergraduates and interdisciplinary research groups and will look at the differences between the needs of faculty and researchers in various disciplines."

This study will be undertaken by the new Associate Director for Public Services. An appointment is expected in the spring of 1990; the study should begin early in the 1990/91 academic year. Funding for the study will come from the library budget. Assistance in conducting the study will be sought from the Office of Management Services of the Association of Research Libraries (OMS) and may well include the use of a consultant familiar with the information services self-study model developed by OMS.

In connection with this study, the Libraries are undertaking a review of the literature and state of knowledge regarding changing information use patterns in various scholarly disciplines. One outcome of this study will probably be the development of a grant proposal for a comprehensive investigation of information utilization in one or more disciplines critical to MIT. Potential funding sources include foundations, NSF, and the Title II-B program of the U.S. Department of Education.

A major goal of the overall user assessment study will be the measurement of the value of existing services and collections and the identification of new services and information required but not currently available. The importance of access to both print and electronic information will be assessed.

The study will build on two previous surveys of library users at MIT. The first was a senior thesis by Vivienne Lee in 1986 that focused on undergraduates and the second was a Council on Library Resources sponsored study conducted in 1988/89 by Richard Hines of the MIT Libraries and Professor Candy Schwartz of

Simmons College. These surveys gathered information about current use patterns in the MIT community and preference for future electronic library services. The forthcoming information services study will rely more on face-to-face data gathering rather than using a written survey instrument. Based on the analysis of the earlier studies, data collection will be organized around a series of interviews and focus group discussions. Among the audiences to be reached are undergraduates, graduate students, faculty, research staff, academic administration, Information Systems staff, and individuals from outside the Institute, especially those connected with companies in the Industrial Liaison Program.

The study is intended to collect information not gathered in our written surveys. The interviews should complement what we already know about the information cultures of various fields. We are particularly interested in how members of the MIT community acquire information and how they view the role of the MIT Libraries in this process. The results of the study will be incorporated into the planning process and will help in building collections, in planning and implementing new services, and in improving or eliminating existing services and practices.

An important part of the study will be a segment on the marketing of library services. Many of the services that users need are already available but not widely known. The data-gathering/interview sessions will themselves be an opportunity to inform users about services they might need but are not using as well as a means of determining how to market these services more effectively.

The information services study will be a valuable tool in assessing the information needs of the MIT community and measuring the effectiveness and utility of existing services. A critical goal of the study is to identify those information services particularly important to the unique needs of the MIT community and to find ways to deliver those services into already overcrowded lives. The study recognizes the importance of a set of well conceived and well designed library services to the educational and research functions of the Institute.

Academic Computation for the 1990's and Beyond

The Libraries have been asked to participate in the explorations of the Committee on Academic Computation through a series of meetings and written presentations. A subcommittee consisting of Professors Steinfeld and Wooldridge will serve as liaison with the Libraries throughout the study. Following a meeting with them in early November, the Director of Libraries met with the full Committee on November 9 to outline the Libraries current and future plans in the area of academic computation and information services. The committee will meet with the senior library staff after the Committee completes its interviews with the various Institute constituencies. This meeting will provide an opportunity for the Libraries to learn about the expectations of other segments of the campus with regard to information access and delivery. We will then submit to the CAC a formal, written report describing the Libraries' vision of its role in academic computation.

The following is an outline of the Libraries' initial presentation to the Committee:

The basic premises underlying the Libraries as information provider are:

1. Continue to acquire information in a variety of formats when that is the most efficient and economical method. Preservation of material of historical value.
2. Continue to maintain the physical environment for access to this information, for electronic access, for access to staff for assistance and instruction, and as a place to study and learn. The Libraries will also provide common space for access to technology for a portion of the community.
3. Provide access to information not owned by MIT as part of basic library service.
4. Increase the scope and depth of the online catalogue by including more collections (e.g., slides, manuscripts, photographs) and more extensive indexing (tables of contents, book indices) using both national sources like OCLC and local staff.
5. Provide as much service as possible without direct charge including literature searching and document delivery from external sources. Charges would probably be maintained for photocopying and extensive literature searches.

Current electronic information services

1. Barton in the MIT Libraries, via dial access, and on the campus network.
2. CD-ROM databases in the Libraries.
3. Access to catalogues of other libraries.
4. Searching of online databases.

Additional services in the immediate future

1. Barton on CD-ROM.
2. Table of contents service on the campus network.
3. Other databases on the network.
4. Library information on the network.

A Service Model for the 1990's

1. Online information system with an expanded catalogue.
2. Online databases on the network and in the Libraries.
3. Access to OCLC.
4. Full text access.
5. Network access to CD-ROM databases in the Libraries.
6. An MIT database of unpublished information: local and personal databases; educational resources database.
7. A full scale reference and referral system:
 - A. Reference and information via electronic mail
 - B. Interlibrary loan requests online
 - C. Library information online - hours, services, new books
 - D. Electronic access to library publications:
Thesis specifications; guides; bibliographies
 - E. Full text MIT databases
MIT Publications
Thesis abstracts
ILP Directory of Research
 - F. Access to catalogues of other libraries
Boston Library Consortium via NEARNET
Other research libraries via INTERNET
 - G. Optical databases - Boston architecture
 - H. Electronic library modules in lieu of reading rooms
 - I. Document delivery via telefacsimile and full text printing
 - J. Extended literature searching including literature scanning
customized to faculty/research staff interest profiles

Issues and Concerns

1. What is the future campus environment for academic computing? Who will pay? What will be charged and what will be the basic platform? Currently the Libraries are paying almost \$10,000 per year for Project Athena clusters located in library facilities. There is also concern about the cost of telecommunications, especially the local charges associated with BITNET access.
2. Development of local area networks within the Libraries is intrinsic to the future of our electronic services. They would both provide access to the network from within the Libraries and sustain library to library telecommunication. The technological and economic issues involved in linking them to the campus network are extremely important, especially the continuing costs associated with providing access to the Libraries' database.

3. What is needed by the MIT community? We expect some answers to this question to come from the Committee's current effort.
4. What will be the future charging structure for full text document delivery online? This is one of the major unknowns because of the slow development of this type of publishing.

One major concern that has emerged from discussions within the Libraries as well as with the Committee, is the need for an Institute Information Policy. Such a document would cover a number of critical policy issues including responsibility for information facilities; coordination and collaboration in sharing of resources; access to information owned by MIT; archiving electronic information -- administrative, financial, legal, and historical; copyright of electronic information.

PROGRESS ON THE STRATEGIC PLAN IN 1988/89

A number of activities were undertaken during the academic year ending June 30, 1989 that supported activities identified in the Strategic Plan as being priorities for Year 1 (FY 1989) or Year 2 (FY 1990). Additional activities are described in the following section under "Current Initiatives."

Services and Collections

Developed requirements for retrospective conversion project and submitted cost inquiries to prospective vendors.

Participated in collection analysis project as part of the Boston Library Consortium, analyzing monographs acquired between 1982 and 1988.

Completed study of document delivery mechanisms and began to implement recommendations.

Analyzed strategic plans of MIT Schools, research centers and laboratories; information obtained used in updating the Libraries' Strategic Plan.

Technology

Developed specifications for the CD-ROM based catalogue and sent information to vendors.

Implemented dial access to Barton.

Began implementation of Barton on the network.

Planned and implemented the first electronic library module in the Media Laboratory.

Transferred the serials commitment system from Administrative Information Systems to the Acquisition Department of the Libraries.

Space

Detailed planning for the addition to Rotch Library.

Developed a plan that would create a microform service area and new staff offices in the Dewey Library.

Undertook a comprehensive study of space use in Hayden Library.

Finances

Completed a feasibility study for a fee-for-service operation. Decision was made not to undertake this project for the present.

Appointed the Institute Archivist and Head of Special Collections as a part-time development officer for the Libraries and intensified fund raising efforts.

Streamlining

Completed a study eliminating duplicate serials check-in and began implementing the recommendations of the study. One result will be the release of two support staff positions to work on retrospective conversion.

CURRENT INITIATIVES

1. Rotch Library. The construction of the addition to Rotch Library is proceeding on schedule. The first phase of the project -- the six level addition -- is expected to be ready for occupancy at the end of May, 1990. All collections, staff, and equipment presently in Building 7 will be moved to the addition; some of these functions will be in temporary quarters. The existing Rotch Library will be closed, renovated, and then re-opened for use by the beginning of the fall semester. A dedication is scheduled for late October or November of 1990.

The new library will have extensive technological capabilities including online catalogue workstations on every floor, linkages to the campus network, CD-ROM units, optical disk facilities, and connections to the campus cable. The unique collection of rare books and special materials that makes Rotch one of the most outstanding architecture libraries in the world, will be housed in a secure, environmentally protected area. The expanded library will contain all of the library's collections in architecture, planning, and art back to 1964 as well as some earlier items presently in storage.

As a building, the library with its addition, is a dramatic and unique structure befitting the Institute and the School of Architecture and Planning. As a library, it brings together the best of "old technology" -- the printed word and the illustrated book -- and all of the new technologies. Overall, this is one of the most noteworthy achievements in the long history of the MIT Libraries.

2. Collections. In FY 1989 the rate of serials price inflation levelled off at approximately seven percent. We are projecting a similar rate for the current year and are able for the first time in several years to apply some inflation funds to the monograph (book) budget. These funds have been applied to areas where there has been significant recent growth in instructional and research programs at MIT as well as in subject areas that reflect higher rates of inflation and increased publishing. In a few cases, especially in the sciences, we have also found it necessary to increase funding in order to subscribe to new serial titles.
 - A. Undergraduate programs. Responding to the Institute's current emphasis on undergraduate education, we have provided additional support in the areas of theater arts, visual arts, biology, psychology, philosophy, women's studies, minority literatures, and science and technology for the non-specialist.
 - B. New and Expanding Programs. In management, we are supporting the new emphasis on the management of technology and on productivity, as well as funding additional reference titles to support the dramatically increasing use of Dewey Library. In economics, funds have been added in response to the expansion of activity in the Center for International Studies. In mechanical engineering, we have increased funds to acquire new books that describe the application of artificial

intelligence to manufacturing. Four areas that are characterized by an increase in MIT research and increased publication have also required additional support: computer science, chemical engineering including biotechnology, physics (especially superconductivity), and materials science (especially polymers and superconductivity).

- C. Continuing Programs. Linguistics and philosophy require additional support because most scholarly works in these fields are published in Europe where the rate of inflation has been greater than for U.S. imprints. In political science we are funding the purchase of microform collections of primary source material in the area of arms control and international security as a continuation of funding formerly provided through the MacArthur Foundation grant. We are providing additional funding for architectural design and practice as a result of information provided by the department head and the faculty regarding needs to support the teaching program. Environmental policy is an area that requires greater support because of increased public concern, the level of academic research, and the number of new books. Additional funding has been provided to a number of science areas as well as for reference materials in aeronautics and the geosciences. Two new CD-ROM products will be acquired: Registry of Mass Spectral Data, and COMPENDEX, the CD-ROM version of the Engineering Index. The latter will be funded through the Vail Fund, one of the Libraries' endowed book funds.
3. CD-ROM Catalogue. The responses to the "request for information" sent to five CD-ROM vendors were given an extensive review during the early fall. The decision was made to ask three of the vendors to provide MIT with test databases for an on-site evaluation. Beginning on December 4, the three systems were set up in a room in Hayden Library and are being tested by a wide spectrum of users from the MIT community. Invitations were sent to faculty and administration, and an open invitation was extended to undergraduate and graduate students. It is expected that there will be several hundred individuals involved in the evaluation including most of the Libraries' staff. A final decision on which system will be installed will be made in February with installation of the system expected by late spring of 1990.
4. Databases on the Network. With the installation of Barton on the campus network imminent, we are concentrating our efforts on providing direct access to one or more commercially-available databases. Several options are being considered: (1) mounting the databases on one of MIT's main frames, e.g. VMA; (2) access through the campus network to a database utility (DIALOG) that would provide MIT with an unlimited number of passwords for an annual fee plus an additional subscription fee for each database; (3) providing access through NEARNET under the aegis of the Boston Library Consortium. The difficulty we have encountered in gaining access to an MIT computer as well as financial considerations, make the second or third options quite attractive. The BLC/NEARNET model, however, is probably one or two years off in terms of implementation.

5. Literature Searching for Undergraduates. The policy initiated last year of providing funded literature searches for undergraduates writing senior theses, has been extended to all undergraduates. These searches can be used in support of term papers, UROP projects, or other needs as well as the senior thesis. There is a funding limit of \$50 per search.
6. Retrospective Conversion. A decision has been made to use the Online Computer Library Center (OCLC) in Columbus, Ohio, as the vendor for the Libraries' retrospective conversion project. Funded primarily through the Sustaining Fellows Program and with additional support from the Libraries' operating budget, this project will begin shortly. The major focus will be on the addition of some 170,000 monographic records to the online database, representing books catalogued by MIT from 1964 through 1974. The program is being designed in concert with the CD-ROM catalogue project with the expectation that the converted records will be added to the CD-ROM version of Barton as it is implemented.
7. Grant Activity.
 - A. Wellesley College Library and the MIT Libraries, at the invitation of the Charles A. Dana Foundation, submitted a joint proposal to develop a program for increasing the information and library components of undergraduate education with special emphasis on the writing requirement and the senior thesis.
 - B. The MIT Libraries was awarded a grant of \$125,000 by the National Endowment for the Humanities for the preservation microfilming of journals in the history of technology, principally in electrical engineering and transportation.
 - C. A proposal was submitted to the Department of Education under the Title II-C section of the Higher Education Act for funds to process and index collections of papers in the Institute Archives in the general area of science and technology and public policy. Among the collections are the papers of Jerome Wiesner and Ithiel de Sola Pool.
 - D. A draft of a proposal to the Pew Memorial Trust that would fund a major renovation and technological upgrading of Hayden Library has been prepared.
 - E. Proposals are being developed for FY 1990 and FY 1991: (1) a study of information gathering behavior of engineers and scientists at MIT; (2) implementation of a Local Area Network (LAN) in the Libraries; (3) development of software to link Apple/Macintosh computers to a Geac-based online information system (Barton). Possible funding sources for (1) and (3) are the Department of Education and for (2), the Culpeper Foundation.

8. The Director of Libraries is working with the Dean of the School of Humanities and Social Science to develop a contract with the Dibner Institute for the management of the Burndy Library.
9. A space change proposal for Dewey Library has been submitted to the Provost for transmission to CRSP. This project involved the creation of a microform/audiovisual area and a number of staff offices as well as improvement of reading areas.
10. Beginning January 1, 1990, the Libraries will fully implement decentralized serials check-in, following the recommendations of a task force established last year. Within the next half year, two support staff positions currently allocated to central serials check-in the Acquisitions Department will be transferred to the retrospective conversion project.

ENVIRONMENTAL ANALYSIS

The trends cited in the strategic plan as having a major effect on the programs and plans of the MIT Libraries are monitored as part of the ongoing planning process. The three spheres of activity in which they are observed are (1) the world outside of the Institute - other research libraries, higher education, and technology; (2) the Institute itself outside of the Libraries; (3) the MIT Libraries internally. There have been developments in a number of the areas described in the strategic plan:

Collections and Services

Identification of User Needs.

A plan has been developed for a major review of information services that will be undertaken by the new Associate Director for Public Services. An appointment to this position is expected early in 1990 with the review scheduled for early in the 1990/91 academic year.

Emphasize Access to Information.

A proposal to increase the speed of access to information and publications not held by the MIT Libraries is included in the "Resources - New Initiatives" section of this document.

Technological Developments

Exploit New Technology.

The Libraries are significantly involved in the work of the Committee on Academic Computing in the 1990's and Beyond.

As part of the Boston Library Consortium, MIT is helping develop a plan for the utilization of the NEARNET network for the linking of Consortium libraries. The first stage of the plan envisions using NEARNET to provide access to (1) the online catalogues of the member libraries; (2) the Boston Library Consortium Union List of Serials.

Education and Research at MIT

A review has been completed of the five year plans of all of the MIT Schools, research centers, and laboratories (except for the School of Engineering). Information on areas of emphasis and de-emphasis as described in these documents will be used in the allocation of acquisition funds. Long term plans that involve the establishment of new academic and research programs, including the possibility of new degree programs, will be monitored in order to establish and communicate relevant library needs.

The recent growth in the size of the student body and the faculty in the Sloan School of Management has had substantial impact on the staffing and services in

Dewey Library. A proposal for an increase in staffing in Dewey is included in the "Resources - New Initiatives" section. In addition, we plan to submit a proposal to the School for incorporation into their development efforts will focus on increasing support for acquisitions in management.

Financial Outlook

While inflation in the cost of library materials and services continues, the rate of increase appears to be remaining constant. There was no significant loss in the value of the dollar abroad during the past year. Government support of sponsored research at MIT, however, continues to be of concern.

COMPARISON WITH OTHER RESEARCH LIBRARIES (UPDATE)

There have been a number of recent developments in the institutions which were surveyed as part of the Strategic Plan. In general, the libraries appear to be moving in the same directions as the MIT Libraries thus validating our plans as well as giving us a sense of our rate of progress toward the realization of our goals.

The Library as Place.

- * The University of Southern California is planning a learning resources center that will extend the concept of the undergraduate library as a information laboratory. Berkeley will soon begin the construction of an undergraduate storage facility. Columbia is undertaking a major renovation of its main campus library.

The Staff

- * Harvard has implemented a major upgrading of professional librarian salaries with the stated public objective of moving into the first decile of the Association of Research Libraries in median salary.

Technology

- * Stanford has a large retrospective conversion program in progress using OCLC as its vendor.
- * In addition to providing access to locally maintained, commercially available databases, most of the libraries in our comparison group also provide access to local databases including technical reports, specialized programs, community events, and library publications.
- * All of the libraries are increasing their use of the Apple computer especially hypercard applications for instructional and directional information.

THE OHIO STATE UNIVERSITY

University Libraries

Strategic Plan:

Looking Toward the Next Century

Submitted

to

The Office of Academic Affairs

December 1988

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I. Introduction and Overview

A. Statement of Mission

The Ohio State University Libraries is the University's most important shared resource. Its collections, facilities, and staff are crucial to the teaching and research functions of the University, and, consistent with the University's land-grant mission, provide an important public service. A stronger University Libraries is essential to Ohio State's goal of achieving international recognition as a preeminent research and teaching institution.

The collections of The Ohio State University Libraries and the Libraries' ability to provide bibliographical and physical access to the world's recorded knowledge are Ohio State's single most important foundation for research. Beyond the research library's role in housing or making accessible the materials upon which advanced study and research in many disciplines are primarily based, it also provides even those disciplines that rely on experimental procedures with access to the records of previous and similar research and, often, to raw data on which they, too, rely. No university which does not have a first-class library can attract and retain faculty and students of the high ability and promise necessary for the institution to achieve international distinction. That fact will be reflected in accreditation and other professional evaluations of the various units of The Ohio State University.

Ohio State's libraries are in a central position in the University to be catalyst and active participant in the intellectual processes that transform information into knowledge and knowledge into wisdom. In an everchanging, technologically complex environment for learning, the University Libraries must develop, organize, and preserve collections; provide information service; and promote use of its services and collections by playing a strong role as an intellectual, instructional, and cultural force in the life of the University and the world of scholarship.

The primary goal of The Ohio State University Libraries, therefore, is to provide the support necessary for the units of this University to engage in teaching, research, and service at a world-class level. All planning and proposals in this document are designed to achieve that goal. By doing so, the University Libraries will become a greater national public resource as well. It will be recognized as a first-tier research library -- on a par with those of the great universities of the United States and the world.

B. Institutional Values of the University Libraries

Underlying the operation of any organization are institutional values that define its culture and shape its actions. The leadership of The Ohio State University Libraries must communicate the Libraries' values to its own staff and the University community.

The undergirding values of The Ohio State University Libraries are based in the principles of intellectual freedom and the ideal of freedom of access to information:

- ° Service:

The University Libraries provides the best service feasible to meet the needs of users, giving primary attention to the University community.

- ° Quality:

The University Libraries provides the best quality in every aspect of operations, no matter how large or how small.

- ° Effectiveness:

All of the University Libraries' activities are designed to accomplish its missions. Optimal results are achieved through efficient use of resources.

- ° Innovation:

The University Libraries constantly seeks, tests, and employs new methods to improve services and the use of library resources.

- ° Participation:

The University Libraries encourages and supports widespread participation by members of the University community and library personnel in the planning, implementation, and ongoing evaluation and improvement of its programs and activities.

- ° Fairness:

The University Libraries is equitable in treatment of staff and users, respects all persons, and takes measures to ensure equal treatment and opportunity in all activities.

- ° Staff Development:

The University Libraries works to develop the human resources necessary to conduct its programs by encouraging and supporting excellence of the library faculty and staff. It employs a wide variety of measures to foster superior performance, individual growth, job satisfaction, and opportunities for research and career development. It gives particular attention to the development of a body of library leaders necessary to advance Ohio State's participation in appropriate state, national, and international cultural, library, and information communities.

C. Goals

Central to the process of strategic planning is the need to agree on goals. As Ohio State's overarching goal is to be the finest university

in the Big Ten and one of the top five public universities in the nation, the University Libraries, as a central element in the academic community, must have that same goal. However, defining what "finest" now means, much less what it will mean for a research library at the turn of the century, is a major challenge. A principal indicator of a library's potential to achieve such recognition as "finest," however, must be a measure of the financial resources made available for library collections, staffing, and operations by the university. In this (Cf. Tables A-E, appended), Ohio State clearly has far to go to attain top rank for its libraries.

There is little doubt that a great majority of the faculty and graduate students in all areas of a university will continue to point either to the absolute size of a library's print volume holdings as the best indicator of excellence and/or to a count of the number of active serial (journals, annuals, etc.) subscriptions. In broad areas of the arts, humanities, and social sciences, many will also look for the presence of eminent collections of rare books and significant holdings of primary research materials, typically manuscripts. Those in the sciences, engineering, and professional areas will emphasize ready access to innovative, state-of-the-art information technologies that provide opportunities for access to information worldwide that mirror, if not anticipate, contemporary developments in business, industry, and professional practice. And, not least, great numbers of undergraduate students and many graduate students will also assess a library's excellence by the extent to which help -- whether delivered directly by library personnel or by means of technology -- is available to use and learn how to use information resources. In truth, all are valid indicators of a library's excellence and so must be addressed in strategic planning for The Ohio State University Libraries.

The University Libraries must make the difficult choices about how best to use scarce resources in conformity with the general goals of leadership of the University. Decisions thus far have been based on the goals cited in "The Future" section of recent University Libraries' annual report/budget requests, the most succinct statement of the future direction envisioned for Ohio State's libraries:

- ° To strengthen, systematically, library collections necessary to advance the research and instructional objectives of The Ohio State University.
- ° To organize those collections and provide the bibliographic apparatus (e.g., catalogs, indices, finding aids) essential to promote ready access to them.
- ° To preserve those works in Ohio State's research library collections necessary to scholarship and advanced study, which includes achievement of sufficient building space and a controlled physical environment conducive to collection security and preservation.
- ° To make available to the University community information resources and services that benefit from the best technology of information storage, retrieval, and dissemination.

- ° To provide substantially more and higher quality information services to the students, staff and faculty of The Ohio State University, as required to support excellence in instruction and research.
- ° To provide the quality and quantity of building space that promotes the health, security, high morale and productivity of the staff; and provides a secure environment supportive of study and research for library users.

In summary, all that Ohio State's libraries are, and propose to become, is animated by the goals and objectives of the University. The University's libraries do not exist or seek support for themselves, but for the advancement of excellence in all of Ohio State's endeavors.

D. Assumptions and Background Information

The Libraries must accept the University's assumption that funding from the State will likely not grow significantly beyond the rate of general inflation. Therefore, the substantial additional funding which will be essential to achieve the Libraries' goals will not come with any general increase in University resources. Rather, it will need to come mainly through the University's decision processes leading to new program allocations. There must also continue to be efforts toward internal reallocation of library resources and work to further efficiencies in library operations, though prospects here are limited. New construction and renovation of existing library facilities is also central to assumptions about the Libraries' strategic planning.

Many of the issues to be addressed in strategic planning are common to all of the libraries at Ohio State, but this statement focuses on the units that make up "University Libraries." It recognizes, nevertheless, the imperative need for continued close cooperation and regular communication between the central library system and the other principal libraries in the University (Law, Health Sciences, Ohio Agricultural Research and Development Center, Agricultural Technical Institute, regional campuses, and the Edgar Dale Media Center), as well as with other information-related service units, in particular, the Instruction and Research Computer Center, the Center for Teaching Excellence, and University Systems.

It must also be explicitly understood that communication to the University Libraries about academic planning for the University in general (and for colleges and departments, in particular), especially about planning related to curriculum changes and research programs, must become more regularized. Careful consideration of the implications of academic planning for general and programmatic development of library operations and information services is essential at all stages of preparation and review. A major portion of responsibility for achieving this improved state of communication rests with the Libraries, which must alert faculty and administrators to the issue and persuade them of its importance. It is assumed that library and information "impact assessments" will become standard in academic planning.

The major elements of this plan extend from studies that have been undertaken during the past decade, most notably in the following areas: (1) selective consolidation of department libraries (1980) and the broader library facilities plan which was derived from it (1986/87); (2) reorganization of the operations and administrative structure of Technical Services and of Main Library Public Services, conducted with assistance from the Association of Research Libraries, in 1981/82 and 1983/84, respectively; (3) applications of microcomputer technology (1984); (4) preservation of the collections, conducted with assistance from the Association of Research Libraries and partial funding from the National Endowment for the Humanities, in 1985/86; (5) instruction of library users (1986/87); (6) automation, of both library services and operations, based in five-year reviews, last conducted in 1987; (7) affirmative action (1987/88); and (8) staff development and training (1988).

II. State of the Field

Closely related to the goals and assumptions underlying this plan is a rigorous assessment of the state of the field, especially of changes (and continuities) in patterns of scholarly communication and applications of information technologies to academic life. Recent observations on the state of research libraries, scholarly communication, and information technology by Richard DeGennaro (Director of the New York Public Library and former Director of Libraries at the University of Pennsylvania) and Warren J. Haas (President of the Council on Library Resources and former Director of Libraries at Columbia University), two of today's most eminent leaders in librarianship, provide a useful summary of the Libraries' own assessment of the state of research libraries today, and may be found in the Appendix to this plan.

There is a clear consensus that the five finest public university research libraries in the United States are those of the University of Illinois at Urbana-Champaign, the University of Michigan, the University of Texas at Austin, and the Berkeley and Los Angeles campuses of the University of California (Cf. Tables A-E, appended). These libraries have commanded a high reputation among scholars for their comprehensive book and journal collections, world-renowned holdings of primary research materials, and strong records of providing traditional and innovative services in support of research. However, it must be assumed that many scholars of the future will come to weigh not only the traditional factor of library ownership of collections and provision of service related to them as a measure of excellence, but will look as well to the speed and reliability with which a library can provide service that offers ready bibliographic and physical access to a growing variety of traditional print resources held elsewhere, as well as to electronic and optical sources of information.

Planning for Ohio State's libraries to equal the services offered by these research libraries therefore requires pronounced attention not only to traditional collection development and information service (which will require considerable shoring up in any circumstance) but, also, to consortial and cooperative arrangements within and without the

University. It will become increasingly important to apply newer technologies to preserve recorded knowledge and provide scholarly access to it. The challenge is at once to sustain those day-to-day library operations and services that are now perceived to be in jeopardy (and yet are vital to faculty and students, consuming much of any research library's resources) and to find the substantial funds that are needed to add to, organize, and preserve conventional library holdings. This will be especially true, for example, to meet the needs of faculty and graduate students for additional serial subscriptions necessary to the University's programs. At the same time, it will be essential for the Libraries and the University to target the development of those special collections of primary research materials that always will be a hallmark of a research library at a premier university. And all of this must be done while seeking to attract the substantial institutional and external support necessary to intensify applications of technologies in support of information services to teaching and research.

The observations on the state of the field made by DeGennaro and Haas have been echoed in recent comments in an address by Professor Steven Lerman, Director of Project Athena, at the Massachusetts Institute of Technology, reiteration of which provides a good summary of the challenges faced by all research libraries. Lerman emphasizes that librarians must continue to be among the pioneers of change in scholarly communication, a challenge wholly in keeping with the central traditions of librarianship. Librarians must be at once "knowledge guides" who serve and support learning and be the "organizers" who work to bring order to otherwise uncoordinated data sources that threaten to produce "scholarly gridlock." Librarians must emphasize experimentation, risk-taking, and intra- and inter-institutional cooperation -- all in the face of much uncertainty. In planning, Lerman suggests that librarians and others in the academy must be alert to the following considerations:

- ° Libraries are too small a portion of the market to move many publishers and purveyors of information technologies in directions that many in the academy perceive to be most supportive of scholarship.
- ° Much of the technology essential to achieve agreed-upon scholarly goals is not ready (in the sense that it is often not "reliable, robust, or cost-effective").
- ° Major legal and/or institutional barriers remain (especially copyright).
- ° Funding is seldom adequate to support the "knowledge system" generally.
- ° "Cumulative inertia" has always worked against change.

It is clear, given the state of the field, that persistence and patience, coupled with wise application of significantly increased resources, will be essential to the success of Ohio State's libraries.

IV. Plan for Program Development

The following plan for program development is intended to describe initiatives, on behalf of the University community, in six broad, interrelated areas: Collections, Information Systems and Services, Staffing, User Instruction, Facilities, and Communication. There must be major progress in all of these areas if the University Libraries is to provide the services of a first-class, public university research library.

A. Collections

There is no doubt that various improved means of access to information sources external to the University will become an increasingly important service. However, this must not detract from the imperative need to develop and manage better the local collections -- which will require substantial effort and substantial funding increases. Work in this area will be all the more important, as not only will potential additions to the collections be expensive, both in the direct price of their acquisition and processing (especially cataloging), but the longer term cost of housing and preservation for all items in the collections will be substantial. It must be emphasized that, various alternative means of access to information notwithstanding, the Libraries cannot provide the services required of a top-tier research institution without the development and maintenance of local collections that bear the label of excellence.

The magnitude of this central challenge to achieve excellence is apparent when Ohio State's collections profile (see Table B, appended) is contrasted with that of other top public research university libraries. The gap between Ohio State and Michigan is particularly illustrative: Ohio State would need to double its current annual rate of collection growth -- over a twenty-two year period -- simply to attain the size of collection that Michigan will have achieved by that time (assuming that Michigan does not increase at all its rate of acquisition!). As noted earlier, many faculty (and others in the scholarly world) will continue to judge a research library's excellence by the depth of the local collection -- the level of which, it must be underscored, derives in significant part from the addition of volumes of serial publications that are received on subscription. This is an area of particular weakness at Ohio State, about which faculty complaints are nearly universal.

The following specific initiatives are proposed:

- ° Intensify recently begun efforts to evaluate and document the status of Ohio State's collections, including active participation in the Association of Research Libraries' North American Collections Inventory Project. This is the essential planning prerequisite to all other initiatives related to the collections, especially to move quickly toward the levels of current acquisition of library materials (in number of volumes added, the number of serial publications currently received, and quantity of primary research materials acquired) required of a top-ranking public research university.
- ° Act on the extensive specific planning recommendations made in the Libraries' major preservation planning document of 1985/86.
- ° Intensify communication with other research libraries in the Committee on Institutional Cooperation (CIC), and the CIC region, with InterUniversity Library Council (and selected other) libraries in Ohio, and with other appropriate libraries and repositories throughout the nation to promote effective cooperative collection development. (This effort must include parallel attention to cooperative cataloging and preservation ventures.) These efforts should be based in the initiative begun in 1985 among CIC-affiliated science bibliographers (including librarians at Ohio State); the experience gained in Ohio State's part in the current CIC cooperative preservation venture (funded in significant part by the National Endowment for the Humanities); in the coordinated efforts among Ohio State, Michigan State, and Bowling Green State in collecting primary research material in American culture; as well as the results of the Library of Congress' pilot National Coordinated Cataloging Program (akin to Ohio State's current experience participating in the National Agricultural Library's cooperative cataloging project).
- ° Coordinate all collections-related initiatives with planning for much improved, innovative means to provide access to recorded knowledge, worldwide, increasingly by the use of electronic means. It is essential to ensure that the Libraries meet curricular and research needs that warrant availability of newer electronic and optical and traditional print sources.
- ° Continue to work closely with the Health Sciences Library, the Law Library, and appropriate University offices to develop, apply, and evaluate a valid means of indexing costs of library materials to promote predictable levels of funding that are essential to long-term collection development and management. It is expected that implementation of such an index would move the University closer to levels of expenditures for library materials more typical of a "top five" library.
- ° Improve communication with academic units (e.g., by providing information in curriculum committee deliberations) in order to build collections -- and services -- that would better serve program needs.

- ° Develop a module within the Libraries' training/development program to help library collection managers evaluate use of the collections and plan for their further development or phasing down.
- ° Move items in the collections to protective housing that is most appropriate to their use and preservation. Place rare items in more secure space and transfer less used items to the Library Book Depository.
- ° Bar-code most items in the collections. This is essential to more efficient circulation of materials and to collection of data vital to long-term collection management and development.

B. Information Systems and Services

This is a pivotal area for development. It brings together conceptually library services and functions that scholars traditionally have seen as discrete. Information systems support the services through which a library provides access to its own holdings and to burgeoning information sources elsewhere within the University and worldwide. Libraries must enhance catalogs, provide finding aids for special collections, and produce indexes to provide bibliographic access to other of their own holdings. Equally important, libraries must provide access to information available from other libraries and repositories, externally produced indexing and abstracting services, reference sources available in electronic media, selected full-text data bases, and, broadly, to governmentally and commercially produced data bases.

The ultimate objective for the Libraries' planning effort in this critical area must be to provide coordinated, user-friendly means that enable novice and skilled students and faculty to discover and utilize the widest possible array of sources of information at Ohio State and elsewhere in the world. To work toward this goal, the Libraries' catalog must be linked with the planned "Ohio Library Access System." (A current description/rationale for this statewide online union catalog and central database service is presented in "Ohio Library Access System - Planning Paper/November 2, 1988.") This venture clearly promises to strengthen Ohio State's capacity to serve the citizens of Ohio, though provision for additional library staff to identify, retrieve, and ship requested library materials will be necessary.

To achieve these ambitious goals, the following specific initiatives are proposed as intermediate objectives:

- ° The Libraries must continue to be active participants in information systems development, as with the "OSUL Gateway" now under development and OCLC's EPIC project. (The "OSUL Gateway" is intended to imbed in the online catalog the means to guide students through a "search strategy" that will take them into selected electronic sources and point out the potential relevance of other, more traditional sources as well. OCLC's EPIC project is designed to make the entire OCLC online union catalog -- currently over 18,000,000 records -- searchable not only by "author/title" combinations but by other "access points," such as subject headings or key words in a catalog record.)

- ° The Libraries must complete retrospective conversion of all of its conventional catalog records to full computerized form, giving high priority to records for serial publications.
- ° Conventional bibliographic control must be extended to heretofore largely uncataloged material in Ohio State's library collections, principally maps, music scores, sound recordings, microforms, and manuscript collections.
- ° All relevant units in the University--beyond the University Libraries and Health Sciences Library--must cooperate to incorporate into LCS (or its successor) catalog records of all Ohio State library collections, whether located at the Ohio Agricultural Research and Development Center, the Edgar Dale Media Center, the Law Library, the Agricultural Technical Institute, or the regional campuses, as well as for such collections as the slides of the History of Art Department. Careful consideration also must be given to adding to the online catalog bibliographic records to represent selected library resources from other institutions (as is now the case in LCS for catalog records of the Center for Research Libraries, the Ohio Historical Society, and the State Library of Ohio).
- ° As prime examples of the types of improvements that must be made in the online catalog: Key-word level access must be provided to all catalog records, as well as timely information about the receipt of current issues of periodicals and other publications that are received on subscription.
- ° Innovative means of in-depth, item-level access to collections of primary research materials in Ohio State's collections must be provided, by such means as the "Special Collections Database" project currently in design. (This would permit a researcher to search, say, for all references to and images of the "Statue of Liberty" -- in sheet music in the Music Library, playscripts at the Lawrence & Lee Theatre Research Institute Library, or photographs and cartoons at the Library for Communication and Graphic Arts.) Incorporation into the online catalog of records that describe other primary research data sources (e.g., work now underway to add records to LCS that would lead users to machine-readable social sciences data available from the Inter-University Consortium for Political and Social Research) must also be tested and evaluated.
- ° The cost-effectiveness of continuing to attempt to create full catalog records for all Ohio State-acquired library material must be assessed. Targeting fuller -- and faster -- original cataloging (i.e., that performed by a librarian-cataloger) to items associated with selected discipline areas in which Ohio State's research collection constitutes a nationally or internationally significant resource must be considered. Less complex (and therefore more quickly available) original catalog records for items associated with other collection areas would thus be created. Professional and paraprofessional cataloging personnel will be targeted to agreed-upon areas.

- ° Assess the possibility of introducing, cost effectively, vernacular forms of selected non-Roman alphabet languages (many of which do not lend themselves well to transliteration) into the online catalog, e.g., Arabic, Chinese, Hebrew, Japanese.
- ° Improve substantially local means of access to nationally authoritative cataloging and indexing sources, e.g., to the Library of Congress Subject Headings (LCSH) database and selected machine-readable thesauri of special discipline terms, so as to support more efficient creation of catalog and related bibliographic records of high quality. Consider the feasibility of introducing to the online catalog such special features as cross-references to LCSH terms from the National Library of Medicine's Medical Subject Headings.
- ° Consider carefully the effectiveness of multiple approaches to provide access to electronic data bases (both to citation/bibliographic databases and textual and numeric databases) to all members of the University community, on an equitable basis. These plans must be based in University-level assessments of instructional and research program needs, focusing attention on a potential mix of CD-ROM technology, locally mounted data bases, and both mediated (i.e., librarian-assisted) and end-user searching of remote vendor-managed data bases.
- ° Introduce state-of-the-art telefacsimile services to promote rapid access to resources of the CIC libraries, libraries of the Ohio Inter-University Library Council, and research libraries throughout the world.
- ° Introduce an intraUniversity document delivery service to provide the University community with copies of documents that are not suitable for lending in the original, consistent with provisions of the Copyright Law and development of cost-recovery mechanisms.
- ° Not least, expand and improve the Libraries' capacity to provide traditional reference and information services of high quality.

C. Staffing

Essential to the future success of the Libraries will be the recruitment, development, training, and retention of substantial additional highly qualified, energetic, and dedicated library faculty and staff. Particular attention must be given to meeting the goals outlined in the Libraries' 1988 plan for Affirmative Action, especially to ensure that those in library administrative and managerial positions, as well as those who work directly with the University community, reflect the diversity of the population.

The following specific initiatives are proposed:

- ° Within the next ten years, add numbers of librarians and paraprofessional staff to approximate the level of staffing of the University of Michigan Library, the fifth-ranking -- in size of regular (i.e., other-than-student) staff -- of the top five public research university libraries. (See Table A, appended.) This will require the

addition of approximately 19 librarian and 63 paraprofessional (Classified Civil Service Staff) staff positions, at an ultimate additional annual rate cost of \$1,641,000 (calculated, in 1987/88 terms, at a \$30,000 salary for library faculty and \$17,000 for staff), not including the cost of fringe benefits. Apportionment of these additional personnel among the Libraries' functional areas will be proposed in each year's budget request. Justification for each position will be provided in programmatic terms. It is not expected that Ohio State's pattern of library staffing, which reflects a heavy concentration of personnel in direct service to faculty and students (vs. "behind-the-scenes"), will change. However, some shifts between categories of staffing are likely -- as libraries are consolidated, as the full dimensions of the impact of changes in processing (including preservation and handling of special collections) become clearer, and as the needs of faculty and students for advanced information services and instruction develop.

- ° Continue monitoring the salary and wage structure for library faculty, Administrative & Professional staff, Classified Civil Service staff, and student-employees to ensure that equitable and competitive compensation works to attract and retain the best people.
- ° Continue work with the Office of Personnel Services on the currently active proposal from University Libraries (with concurrence from the Health Sciences Library and the Law Library) that would rationalize the position specifications, Universitywide, for all library-titled Classified Civil Service staff and adjust pay ranges accordingly.
- ° Continue work begun in 1985/86 to seek means to adjust wages of library student-employees to reflect better the marketplace for their skills and promote more equitable employment opportunities for Ohio State students.
- ° Act on the planning recommendations of the Libraries' 1988 Task Force on an Orientation/Training Program for Library Staff, initially by ad hoc assignment of relevant tasks to a library working group, but subsequently by appointing a Library Training Officer. This position would be based in and derive support from the Library Personnel Office and from other appropriate offices and units in the University (Personnel Services and Human Relations, in particular).
- ° Establish a Library Staff [Classified Civil Service and Administrative and Professional Staff] Advisory Council to promote better communication between this vital group within the Libraries' staff and the library faculty and administration.
- ° Give greater support for travel and other means of professional development for more library faculty to participate more frequently in meetings of regional and national professional and scholarly associations when advances in library and information service are so often at the center of discussion.

- * Work with the Office of Personnel Services and other University offices to develop programs that target development of staff skills and abilities vitally important in a research university setting (e.g., in languages, computing, statistical methods, and management practices).

D. User Instruction

Effective utilization of library and information resources by the University community demands effective programs of instruction in information-seeking skills. All planning for and development of such programs must be done in collaboration with individual faculty, college, and departmental curriculum (and like) committees, and the Center for Teaching Excellence, to ensure that the goals and objectives of library/information instruction are wholly in concert with the curricular objectives of academic programs.

Of all of the Libraries' long-range planning undertaken to date, that related to library user education is most advanced. All of the suggested initiatives that follow are taken directly from the latest (April 1988) version of the Library User Education Plan. Throughout, the Libraries' plan for user instruction is designed to be flexible and geared to the changing needs of users. It already has been subject to one annual review and revision in each of its steps or stages and has been used in setting current priorities for the library user education program.

Goals and objectives of the current plan for library instruction are to insure that students can use information efficiently to improve their classroom performance and that they acquire the information skills necessary to function in the information society. They must acquire the ability to find needed information regardless of the format in which it appears and be able to evaluate and select that which is most useful. This knowledge and these skills are to be taught in a sequential program of instruction which is related to classroom assignments. That program, while currently focused at the undergraduate level, must be developed more fully for graduate students as well. The program is also to assist staff and faculty members' use of library and information resources with instruction where needed. The goals of the plan are broad and its objectives specific and measurable.

The second section of the plan, which is a summary of the Libraries' current instructional activities (with personnel time involved), is based in large part on the annual report of the Libraries' user education office. This annual examination of activities is intended to help in analyzing progress toward achieving the goals and objectives of the plan and to point out where and to what extent attention is needed. The data provided include number of tours, LCS workshops, and course-related instruction classes offered. It treats the numbers of librarians teaching and the numbers of students (or others) reached, courses involved, types of assignments, subjects covered, length of time used for preparation and presentation, and whether an evaluation was done.

E. Facilities

The Libraries' planning for facilities is based on the document entitled The Ohio State University Columbus Campus Library Facilities: A Conceptual

Basis and Plan for the Future, issued in May 1986 and updated in January 1987 for distribution to the University community. Planning for specific projects will proceed in close consultation with Library Council, representatives of any colleges or departments directly to be affected, the Office of Academic Affairs, and the Office of Campus Planning. The following excerpts from the 1987 facilities statement will govern facilities planning in this area.

- ° Limited resources will require that library facilities be designed to promote efficient and cost-effective uses of space, with reliance on the Library Book Depository for the secure storage -- with prompt retrieval -- of less used materials.
- ° Assuming that library staffing will not increase as much as needed and yet be expected to provide more and better services, efficiencies must be achieved by elimination of redundant effort. This can be accomplished only through consolidation of units, so that the University Libraries is not constrained, for example, to maintain more than twenty Circulation desks, employ twenty evening supervisors, and so on. Future libraries will therefore be larger regionalized libraries (aggregated to parallel the colleges more closely) rather than smaller subject-specific units.
- ° The internal environs of Ohio State's libraries will be designed to promote the preservation of materials, although a balance must be struck between the comfort of users and the needs of the collections.
- ° Library spaces should include sufficient conduit and wiring to take appropriate advantage of the convergence between computing (technology generally) and library services, as well as advanced telecommunications capabilities.
- ° Although telecommunications/computing technology will make possible the decentralization of many library technical processing activities (acquisition, cataloging, preservation), considerations of efficient use of staff time, equipment utilization, and maintenance of pools of expertise demand that these operations remain centralized. Space appropriately designed and outfitted for intensive use of computing in these functions should be provided in a new central library.
- ° As upper division undergraduate instruction becomes more rigorous and demanding, juniors and seniors will be using subject collections rather than an undergraduate library. Provision for additional seating and services must be made in consolidated libraries to meet this need.
- ° As the Undergraduate Library becomes more focused on the lower division student, it will become more thoroughly a "teaching library," geared in collection and service to the instruction program. Generous teaching space, in the form of ordinary classrooms and electronic information laboratories, must be provided here.
- ° In recognition that graduate students' use of libraries resembles more closely that of faculty, provision should be made for enclosed, private carrels for graduate students doing scholarly work -- in particular those working on theses and dissertations. Numerous enclosed small

study areas (sized to accommodate six to twenty graduate and advanced student occupants) should be available in new and renovated facilities so that these students and faculty may congregate in the libraries to work in groups.

- ° Future libraries should be designed to appear as the welcoming, service-oriented institutions they are meant to be. Comfortable yet efficient and secure interior designs must be provided.

F. Communication

Prerequisite to successful planning for library and information services is the improvement of structures to promote better communication between the Libraries and the University community. It is especially important to put into place structures that will elicit information, fact and opinion, from faculty and students, as their library and information service-related needs and interests develop.

The following specific initiatives are proposed:

- ° Maintain the Libraries' publications program, building on the newsletter Tracings and the recently expanded series of flyers and brochures issued by the Office of Library User Education, in order to inform the University community more effectively about library services, resources, and issues.
- ° Act on the results of the Libraries' recent Universitywide review of potential library/information service uses of electronic mail and electronic bulletin boards. Solicit comments and suggestions about libraries and information services from users of such systems.
- ° Explore, with other information service-related units in the University, the periodic administration of an in-depth survey of a sample of the faculty, modeled on the recent work of the American Council of Learned Societies on the state of scholarly communication. Plan a multi-year, longitudinal approach to such sample surveying, with strong emphasis on follow-up by such means as focus group interviews.
- ° Implement, for planning and preparation of budget requests, easily understandable user-focused measures of library performance (beyond tallies of traditional data on volume counts, circulation). Include such elements as the rate of users' success in identifying needed materials and/or information, the rate of user success in obtaining material ("book availability") and/or information, and the degree of satisfaction with library instruction and reference service. Volunteer to serve as a test site for the academic library "performance measures" being developed within the Association of College & Research Libraries.
- ° Intensify development of internal management information systems that are based, wherever possible, in existing University and Libraries computerized processes to permit better tracking of the uses and effectiveness of all library resources, especially budget, staff time, collections, and facilities.

- ° Review and revise the Libraries' plans for development/fund-raising to seek more external support.
- ° Collaborate with interested faculty (and researchers nationwide) in proposals to conduct research into scholarly communication and uses of information systems.
- ° Develop within the Libraries the means of communication necessary to promote broader involvement of library faculty and staff in strategic planning.
- ° Work with Library Council to develop a network, based in the existing structure of advisory committees in departments and colleges, of library/information-interested faculty.
- ° Work with the Office of Academic Affairs and the Research Foundation to ensure that communication about academic program reviews and grant proposals in preparation, respectively, take account of library and information issues and needs.

V. Impact on Resources

A. Personnel

There is ample evidence presented in the University Libraries' annual reports and budget requests of recent years that shortfalls in current levels of staffing are pervasive and limiting. The following comments, adapted from the Libraries' March 1988 report, succinctly describe this situation:

Table A, appended, presents recent (1986/87) data on library staffing for the ten largest (in volumes held) publicly-assisted university libraries in the United States. The data show clearly that within this group Ohio State is near the bottom in levels of professional and paraprofessional staffing and relies disproportionately on student-employees.

The best measure of any library's ability (but especially a research library's ability) to provide direct service, such as reference assistance and library use instruction, is expressed as a ratio of the number of potential primary users to the number of professional library staff. Here, Ohio State is particularly deficient, as for example, in 1985/86, the ratio of all students to professional library staff at Ohio State was ninth among the ten universities. (The ratio of graduate students to professional library staff also was calculated: Ohio State's rank was still ninth among the ten universities, though the seventh ranked library was only fractionally higher.)

Overall, when one compares Ohio State's library staffing profile with that of the top tier of publicly-assisted universities, i.e., the University of California at Berkeley and at Los Angeles, the University of Illinois, the University of Texas, and the University of Michigan, the shortfalls become striking indeed. As highlighted earlier in this planning statement, substantial increases in staffing will be proposed, incrementally, over the next ten years.

While the University Libraries will of course continue to seek opportunities to achieve operating efficiencies that will permit the redirection of staff resources to meet highest priority needs, added personnel resources are vital to success. It is evident (Cf. the May 1988 report on efficiency of processing) that behind-the-scenes technical activities at Ohio State are among the very most productive and efficient in the nation. Of the two other courses of action available to reallocate personnel internally -- trimming of administrative positions and selective elimination of programs, it is possible to exercise either only in very limited ways because much has already occurred in each area since the early 1970s. Further trimming of administrative positions, for example, in the face of substantial additional work needed to continue planning for and oversight of major changes in library facilities and services would be counterproductive in the extreme.

All said, there remain very substantial shortfalls in library staffing, only the very most critical of which can be addressed internally. The many positions that must be requested in future years are essential to support this University's programs of research and instruction by:

- ° providing adequate numbers of librarian-specialists to develop collections and work closely with faculty and students engaged in advanced research (as is often the case in libraries of top-tier universities or in libraries designed and funded to support corporate-sponsored research);
- ° improving instruction of undergraduate students in methods of effective "information seeking," to support the academic goals of a more rigorous curriculum and promote lifelong learning;
- ° acquiring, organizing, preserving, and making more available to the scholarly community Ohio State's research collections, particularly its developing special collections; and
- ° introducing to the campus community in substantive ways the benefits of the full range of newer information technologies.

No one would suggest that "adding staff" is a panacea for library problems, but not to add staff to support the programmatic areas outlined above will weaken the University's overall efforts to achieve first-rank status. The Libraries will continue to monitor its own resources to ensure any possible redirection of existing funds to meet such challenges and will persist in seeking external funds, both gifts and grants. But in the end it can be only by substantial University investment in additional library personnel, as well as in collections and facilities, that Ohio State will be able to achieve eminence among the nation's public university libraries.

B. Equipment and Operations

Beyond the substantial costs of acquiring books, journals and other library materials (in both traditional and electronic/optical formats) for the collections, to be partly addressed in an Ohio State-based index of costs, the principal capital investments needed are major programs to:

- ° replace existing but obsolescent (often dysfunctional) basic equipment (of the table and chair variety);
- ° expand quickly the availability of microcomputer equipment (with workstations, chairs, etc.) to all library faculty and to staff whose work demands such support, as well as to expand substantially access to existing telecommunications (N.B. The Libraries, for purely budgetary reasons, now has less telephone access than before the introduction of UNITS); and
- ° expand availability of computer-based bibliographic files to support more efficient selection, acquisition and processing of library materials.

C. Space

"Facilities" (Part IV, Section E, above) briefly describes the Libraries' needs and plans, for a fuller version of which the 1987 planning document approved by Library Council should be consulted.

VI. Sources

The additional annual cost of implementing two of the three major elements of this plan -- additional staffing and acquisition of library materials -- are estimated at ca. \$1.6 million (see p. 13) and ca. \$1.45 million (per the Libraries' current estimates for cost-index-based recovery of 1984/85 purchasing power in the Library Materials Budget), respectively, for a total (in current dollars) of ca. \$3.1 million. Had such an additional amount been expended for Ohio State's libraries in 1986/87, with a commensurate rise in support for operating expenses (of ca. \$350,000) the critical indicator (Cf. Table D, appended) of Ohio State's library expenditures as a percentage of the University's Educational and General expenditures would have advanced from the ca. \$15,400,000 level (2.6%) to the ca. \$18,800,000 level (3.1%) -- and still not even approach the levels of library expenditures at several of the top-tier public research universities in the United States. (It must also be noted that there is not yet a settled practice among these universities about designation of cost centers for expenditures associated with online library systems, with the effect, for example, that while Texas and Illinois assign such expenditures to units other than their libraries, Ohio State -- and others -- assign such costs to their libraries, thus distorting comparisons of operating support.)

There is no prospect for reallocation of resources from within the Libraries' budget on the scale necessary to make even modest progress toward implementation of most elements of this strategic plan. This statement can be qualified only to the degree that selected constituencies within the University community would countenance significant reductions in the scope of some areas of the Libraries' collections or level of library services provided. In truth, library expenditures at Ohio State, which represented ca. 2.6% of the University's Educational and General Budget in 1986/87 (the most recent data available) vs. 4.6% at Berkeley, 3.8% at Texas, 3.5% at UCLA, and 2.9% at Illinois and Michigan, are much over-extended at present. Base-budget funds available are insufficient to meet even current expectations of the

University community. It has been only by years of very aggressive "total resource management," primarily involving use of salary vacancy credits, that the Libraries has been able to operate within budget. Longer term prospects for other (e.g., endowment) support are uncertain, at best. (While the libraries at Ohio State are seeking substantial additional institutional support, others are as well: the University of Illinois Libraries, in its current planning, is proposing to regain the 3.5% proportionate level of funding which it had until the early 1980s; and similar plans are underway at the University of Minnesota's Libraries.)

As to reallocation: The University Libraries' most recent annual reports have suggested which of its functions and services might be curtailed or discontinued to free up resources to support advances in targeted, high priority areas. Absent the consent of the University community to cut back hours of opening of campus libraries, this would need to be done by significantly reducing commitments of library faculty and staff in direct contact with faculty and students. In consequence, many libraries would be open but would not function much more than most now do on evenings and weekends, when it is generally only student-employees who are available to keep some order and circulate library materials. Substantive cuts "behind-the-scenes" (in processing and administrative areas) long ago were made beyond the extent it is believed that any prudent observer would support if the long-term future of the Libraries is not to be mortgaged.

It is fully expected that this frank, not to say blunt, appraisal of the Libraries' capacity to provide the resources that will be necessary to advance toward excellence will be borne out in the reports associated with Program Review.

In closing, it must be noted that throughout the planning process there were consistent and strong expressions of concern voiced by virtually all consulted about how the Libraries' laudable goals and objectives can be achieved, given evident shortfalls in the fiscal resources necessary to sustain even current collection levels and services. There is, in fact, a widely held concern that maintenance of the current level of quality of Ohio State's libraries is very much at risk.

VII. Background

This plan was developed in consultation between the University Libraries' administration and an internal ad hoc "strategic planning steering committee" composed of several members of the Libraries' faculty and two Administrative and Professional staff members, one of whom has had many years of service in the Classified staff. A preliminary outline/sketch of the plan was prepared by the Libraries' administration and discussed with the ad hoc committee and Library Council. Based on these initial reviews, William J. Crowe, Assistant Director for Technical Services, chair of the ad hoc committee, prepared a first draft of the plan. That draft was distributed to the Libraries' Executive Committee, the members of the ad hoc committee, Library Council, and to a faculty member in the College of the Humanities who had expressed special interest in the state of planning for the Libraries.

Based on substantial suggestions from several of the individuals who received the first draft (especially from the faculty member from Humanities), Dr. Crowe prepared a second draft. Following its review by the Director of Libraries, a third draft was distributed to all of the Libraries' faculty (including Health Sciences and regional campus-based library faculty) and made available to library staff and to others in the University community who have a special interest in planning for University Libraries (i.e., the Director of the Law Library, the librarians at OARDC and the Edgar Dale Media Center, and directors of the computer centers). All were urged to share the draft with others and to comment on it by early December -- directly or at open hearings held in mid-December 1988.

This document, incorporating suggestions made throughout the review process, was prepared by Dr. Crowe, for final action by the Director, in consultation with the Libraries' Executive Committee.

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STRATEGIC PLANS--ACTION PLANS

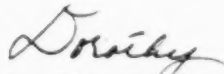
STRATEGIC PLANNING GROUP

November 6, 1989

Subject: UCSD Library Goals: Objectives: Actions Plans

Attached for your use and for routing within your units is the section of the strategic plan which includes our Action Plans. We are sending one copy to each of you and will plan to send revisions every six months or so or when sufficient changes and progress warrant. The text has been arranged so that it is easy to print out the text for a single goal. Carolyn has the document on line (we refer to it simply as "Action Plans") and will be glad to send you a WordPerfect version if you want one.

The value of the strategic plan is in the doing. We will use the framework of this document as a record of what we are doing and have done.



Dorothy Gregor
University Librarian

GOALS: OBJECTIVES: ACTION PLANS

GOAL 1

Ensure the timely acquisition of, or physical access to, materials and information needed by campus academic research and instruction programs.

OBJECTIVES

- A. Develop more effective methods for matching the Library's collections to the growth and emphases of campus academic programs.

1) Action: Enhance and formalize communication about new programs, new faculty and their research interests, and curriculum changes; improve communication mechanisms between the campus and library administration and between faculty and bibliographers.

Time: Can begin immediately.

Resources: No additional resources.

Tasks:

- a. Bibliographers are the primary source of information about new faculty and programmatic changes in their areas of responsibility. This responsibility includes oral and/or written dissemination of new program information and implications for the library, e.g., via e-mail or at Bibliographers Council meetings, as appropriate. To assist with this, we need to develop a new program early alert form (see the next task). Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor.
- b. A standing subcommittee of the Bibliographers Council will be formed. Called the Committee on Program Information, the subcommittee will develop agendas on new programs for Bibliographers Council, develop the early alert form noted in a. above, assist in other ways in disseminating information about new programs within the Library. Soete will draft a charge by September 15. Tentative membership: Sharon Anderson, Bill Goff, Christy Hightower, Irene Hurlbert (Chair).

- c. George Soete and Dorothy Gregor will develop a written plan for strengthening program-related liaison with the campus.

2) Action: Develop library impact reports for all new programmatic initiatives at UCSD; first develop a standardized form for reporting library impact. Translate library impact reports, as appropriate, into proposals for additional campus, state, and external support; focus on new faculty hires as needed.

Time: Can begin immediately; mechanisms should be in place early in FY89-90; proposals for additional resources developed as needed.

Budget: No additional resources required to implement. Some additional resources may be needed as matches to, e.g., campus funding. Otherwise, funding through reallocation of materials budget.

Tasks:

- a. Soete and Allison will develop library impact report form by September 20, 1989.

- b. Ongoing: Soete and relevant bibliographers will be responsible for translating impact reports into proposals for new funding, as appropriate. Lynda Claassen will coordinate development of proposals for external funds, as appropriate.

3) Action: Perform collections program staffing review and make appropriate changes in staffing. Includes workload review; identifying gaps in bibliographic coverage; consideration of alternative staffing models to those currently employed in the Library; analysis of needs with regard to languages, subjects, and area specializations for the next five years.

Time: Report with recommendations completed by early 1990-91.

Budget: Some changes might be achieved through re-allocation of existing assignments or retraining; new specializations may require new money.

Task:

- a. Collections Staffing Review Task Force will perform indicated analysis, write report.

Tentative membership: Peter Brueggeman, Chris Ferguson, Mary Horres, Karen Lindvall-Larson,

George Soete (Chair). Jackie Hanson will be called upon as appropriate. Soete will write a charge for the Task Force by September 30.

4) Action: Perform budget allocation review and make appropriate changes in allocations. Includes development and reporting of key objective data on collections program--publishing patterns, prices, numbers of faculty served, graduate students, etc., and development of more formulaic approach to budgeting for collections. See also Action #6 below.

Time: Data produced in organized fashion by April, 1990. Report with recommendations completed June, 1990. Reallocations to take effect in the 1990-91 budget.

Budget: Probably no additional resources. We may need expert advice on analyzing, interpreting data.

Task:

- a. Collections Budget Review Task Force will gather data, analyze, prepare report recommending reallocations as appropriate. Tentative membership: Terry Allison, Karen Feeney, Judith Herschman, Jim Jacobs, George Soete (Chair). Katie Grimm will assist as staff.

5) Action: Continue intensive collection management activities, with broad faculty input, as a means of assuring that collections effectively support campus programs--includes weeding, collection assessments, etc.

Time: Ongoing.

Budget: Associated processing costs.

Task:

- a. Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor. Specific Central Library Projects need to be discussed with Terry Allison.

6) Action: As supportive activities for the Actions listed above and for continued planning, we need to develop a systematic, ongoing program of updating our databank of materials prices, collections usage, numbers of faculty, graduate students--as well as revising Collection Profiles, NCIP data, etc. Assuring consistency of data collection will be an important dimension of this task.

Time: Program development should begin in September, 1989, and be fully in place by June, 1990.

Budget: Minimal cost may include, e.g., a software package.

Task:

a. This task will be accomplished by the Collections Budget Review Task Force before the budget review begins. See Action #4, above.

B. Develop and expand effective resource-sharing arrangements with other research and special libraries. Development of arrangements must include both bibliographic and physical access to the materials and should include coordinated housing and weeding of collections.

1) Action: Actively develop formal written coordinated collection development agreements with other UC campuses, SDSU, and other institutions, as appropriate.

Time: Intensify existing activities immediately.

Budget: There may be occasional additional resource needs attached to such agreements--e.g., installation of a FAX transmission capability.

Tasks:

a. Each bibliographer needs to develop objectives related to formal coordinated collection development.

b. Soete will intensify systemwide efforts as appropriate working with bibliographer groups, campus collections officers; will report on these efforts, other activities, regularly.

c. Coordinated Collection Development Task Force will develop plans for coordinating collections with SDSU Library, other local libraries.

Tentative membership: Chris Chapman, Harold Colson (Chair), Edith Fisher, Ulla Sweedler.
Soete will draft a charge by September 15.

2) Action: Implement an incentives program to encourage librarians to develop resource-sharing agreements. These might include coverage of necessary expenses, e.g., travel expenses, associated equipment, software.

Time: Development of plan can begin immediately.

Budget: Extensive funding of incentives is probably not possible in the 89-90 budget, but we should try to do what we can. Establish modest budget for 90-91.

Task:

- a. Soete will introduce subject of budget for incentives in Administrative Conference as soon as possible. Needs to be discussed with other incentive action plans in the Strategic Plan.

3) Action: Conduct comprehensive census of resource-sharing possibilities in the UCSD Library. Each bibliographer will survey collections in her/his areas of responsibility and identify focussed areas where we might want to develop resource sharing agreements with other institutions.

Time: By January 1990.

Budget: No additional resources.

Task:

- a. Soete and Allison will develop survey form; Lee Ann Swingle will be responsible for compilation.
- b. Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor.

4) Action: Develop new approaches to document delivery and other access modes to enhance the effectiveness of resource-sharing, both locally and throughout the U. C. system; this action will be accomplished by a public services task force; see relevant action under services.

Time: By January 1991, significantly improved systems should be in place; key action should be a task force report with recommendations.

Budget: Improving ILL service, other delivery modes, will require some additional resources.

Task:

Dawn Talbot will represent the Bibliographers Council on the document delivery task force organized under the services goal of the Strategic Plan.

5) Action: Establish formal program of and appropriate support for regular contact between UCSD bibliographers and their functional colleagues within the UC system, as well as in other institutions, as appropriate. Contact might include, e.g., attendance at regular meetings of UC bibliographers with similar responsibilities, conference calls as needed, one-on-one contact. The AULs for Collections and Sciences will provide guidance for bibliographers in their respective areas.

Time: Begin immediately with discussion of this expectation at Bibliographers Council meetings.

Budget: Modest additional resources might be required for administrative travel.

Task:

- a. Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor.
- b. Soete will lead discussions at Bibliographers Council, draft guidelines as necessary, by October 30.

6) Action: Recommend to University Librarian that the Collection Development Committee of Library Council be charged with redesigning the Shared Acquisition Program to fit within the context of collaborative collection development; ideally, Shared funds would not be granted unless in connection with formal collaborative collection development programs.

Time: Fall, 1989.

Budget: No additional resources required.

Task.

- a. Dorothy Gregor will introduce this proposal in Library Council.

7) Action: Take those actions necessary to establish the Center for Research Libraries as the "10th U. C. campus library" for purposes of coordinating collections: draft a local written policy; charge a UCSD-CRL coordinator with associated tasks, focussing especially on integrating CRL into our thinking about collections.

Time: Fall, 1989.

Budget: No additional resources required.

Task:

- a. UCSD-CRL Coordinator will be Doug Stewart, who will chair a Bibliographers Council standing subcommittee on CRL. Membership: Anita Schiller, Doug Stewart (Chair), Eiji Yutani. Soete will draft a charge by September 15.
- c. Develop policies and practices that reflect acquisition/access trade-offs. Choice of format and physical location should be related to user needs and available funds and space.

1) Action: Develop a written plan and associated policies and procedures for a tiered approach to collection development and management, focussing on guidelines for identifying: 1) what must be held in full-service campus libraries for ready access; 2) what can be located in a local annex; 3) what can be located at the Southern Regional Library Facility; 4) what we can depend on other UC libraries and CRL for; 5) what we can depend on libraries outside the UC system and CRL to provide. Build the tiered access concept explicitly into the Collection Profiles and/or local NCIP data.

Time: Written plan should be completed by early FY90-91.

Budget: No additional resources required.

Task:

- a. Tiered Access Task Force will develop a written plan and recommendations. Membership: Sue

Galloway, Deborah Kegel, Phil Smith, George Soete (Chair). Soete will draft a charge by September 15.

- b. Individual bibliographers will incorporate tiered concepts, as appropriate, into their Collection Profiles. These revisions can begin during the current revision cycle. Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor.

2) Action: Provide explicit written rationalization for format choices--what must be available in hard copy; what can be acquired in microform, electronic form; what can be accessed from leased data services; etc. Draft a written librarywide policy statement and incorporate a format section in each Collection Profile.

Time: Policy completed by spring, 1990; Profiles revised as appropriate.

Budget: No additional resources for policy development.

Tasks:

- a. Formats Task Force will draft a written librarywide policy. Membership: Larry Cruse, Elliot Kanter, Jean Smith, Sherry Willhite (Chair). Soete will draft a charge by September 15.
- b. Individual bibliographers will incorporate format considerations into their Collection Profiles during the current round of revisions. Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor.

D. Make sure that all library materials that both can and should be preserved receive appropriate treatment.

1) Action: Make library preservation program more systematic by formally recording priorities for disaster recovery; by routinizing preservation decision-making as much as possible so that all library materials, including nonbook materials, receive prompt treatment; institute appropriate training.

Time: Completed documentation by April, 1990.

Budget: Some additional resources required.

Task:

- a. The Preservation Librarian (Julie Page) will chair a Preservation Program Task Force charged with carrying out this action. Tentative membership: Garrett Bowles, Kari Lucas, Deborah Day, Julie Page (Chair). Terry Allison will act as resource person. Soete will draft a charge by September 15.

2) Action: Conduct ongoing program of contributing to the national preservation effort in all possible and affordable ways--by participating in, e.g., cooperative microforming projects; by keeping abreast of preservation technology, issues, funding opportunities; by contributing our ideas and skills whenever possible.

Time: Ongoing.

Budget: Participation in national preservation efforts might require commitment of resources, probably through reallocation.

Task:

- a. The standing Preservation Subcommittee of the Bibliographers Council will carry out this task. Tentative membership: Lynda Claassen, Susan Jurist, Julie Page (Chair).

The following action is also a responsibility of members of the Bibliographers Council. It can be found under Goal 7, Objective A, Action 6.

3) Action. Participate in soliciting collections and other gifts-in-kind in support of campus programs; also assist in soliciting gifts of money, grants.

Time: Ongoing.

Budget: No additional resources.

Task:

- a. Each bibliographer needs to develop objectives related to this responsibility and discuss with her/his supervisor.

GOAL 2

Deliver quality services to match the research, instructional and information needs of UCSD faculty, students, staff, and administration.

OBJECTIVES

- A. Develop more effective methods for matching the Library's reference and research services to the research focus of campus academic programs.

1) Action: Develop service profiles for targeted user groups incorporating how groups acquire and use information in support of their research, e.g., core journals, people consulted, type of data needed, equipment available and supported.

Time: 1989/90 and continuing

Budget: Existing

Who: Brueggeman (Chair), Colson, Hightower, Stewart

Charge: Undertake a literature review in addition to other approaches in order to identify successful models for determining information-seeking behavior of scholars in the humanities, social sciences and sciences. Develop procedures and approaches for compiling service profiles for circumscribed user groups. Report due to P. Mirsky six months after committee is constituted.

2) Action: Identify existing successful models for delivering specialized services to determine if they can be replicated/expanded. Do they match service profiles?

Time: 1990/91

Budget: Existing for planning; augmented for implementation.

Charge: Defer constitution and charge for this committee until 1990.

3) Action: Each service point will identify minimum level of proficiency for individual staff in use of online reference services and formulate a departmental plan to provide access to more specialized sources as appropriate. Develop training plan to accomplish this action.

Time: Report due to P. Mirsky March 1 for discussion with PSAC; implementation of training recommendations in 1990/91.

Budget: No additional funding for 1989/90.

Who: Kantor (Chair), Klinkroth, Willhite

Charge: Identify which online reference services should be available on campus. Determine which of the foregoing are mainstream services and which should be considered specialized (for referral to specialists). For mainstream services, determine the acceptable minimum level of proficiency which staff should possess for providing reference services. Develop training recommendations for assuring adequate staff expertise. Each public service department/unit will develop a plan for insuring that the full range of online reference services are made available to its clientele.

B. Implement programs to expand access to information in electronic formats.

1) Action: Library will provide access to additional electronic resources through a Library Information System.

- a. Develop and implement a user-friendly interface for remote access to services and databases, including electronic mail service to library users. (Also appears under Goal 3, Objective C.)

Time: Begin design in 1989/90; submit progress report and 1990/91 budget recommendations to M. Horres by March 1.

Budget: No additional funding in 1989/90; funding for 1990/91 for implementation.

Who: Balch (Chair), Feeney, Frymann, Jurist

- b. Identify services to be delivered remotely and develop proposals, including budget and timeline, for each. (Note: The intention here is to plan for how services will need to be organized and staffed to deliver them differently.)

Time: 1989/90; recommendations due to M. Horres March 1 for PSAC discussion.

Budget: 1989/90 no additional funding required

Who: Starr (Chair), Bowles, Sweedler, Steel

Charge: Within the context of a Library without Walls, recommend services for which we should offer remote access. Identify organizational and staffing considerations necessary for successful implementation.

- c. Make electronic databases, e.g., periodical indexes, available through system (CD-ROMs, MELVYL, locally mounted, gateway to vendors). (Also appears under Goal 3, Objective B.)

Who/Time: 1989/90 CARS Subcommittee, convened by Frymann, is exploring feasible options for networking CD-ROMs. Group will submit budget recommendations for 1990/91 to P. Mirsky by February 1.

Budget: 1989/90 no additional funding; funding required for implementation in 1990/91.

- C. Develop and deliver reference and instructional programs in a variety of formats that make optimal use of library resources in meeting the needs of faculty, students, and staff.

1) Action: Develop a campuswide collaborative library instructional program that incorporates alternate methods for providing instruction (signs, point-of-use, manuals, self-study, slide/tape, computer-aided instruction, etc.)

Time: 1990/91

Budget: Existing (ISAAC)

Who: ISAAC or subgroup of ISAAC (J. Smith, Chair)

Charge: To be developed in conjunction with ISAAC

2) Action: Survey alternate methods for delivery of reference services, e.g. hypertext, interactive video, expert systems

Time: 1989/90 and continuing.

Budget: 1989/90: No additional funding

Who: Allison (Chair), Donovan, Renford, Schiller

Charge: Produce a short report which discusses the various alternate approaches for delivery of reference services and make recommendations regarding the feasibility and desirability of implementing these methods. Report due to P. Mirsky March 1.

3) Action: Establish minimum staffing level and number at public service points and identify training required.

Time: Recommendations due to P. Mirsky by January 31

Budget: 1989/90 No additional funding; 1990/91 Additional funding may be required for increased staff and training

Who: Lindvall-Larson (Chair), Beale, Bovee, Hanson, P. Mirsky

Charge: Make recommendations including timeline.

4) Action: Develop a program that establishes ongoing rotation among reference staff in all public service units.

Time: 1989/90

Budget: 1989/90: No additional funding

Who: Smith, P. (Chair), Anderson, Chapman, Hanson

Charge: Make recommendations including timeline to P. Mirsky by February 1.

GOAL 3

Work to build a "Library Without Walls."

OBJECTIVES

- A. Become an active partner in assisting campus groups in managing their information needs.

1) Action: Develop an information management consulting service.

Time: Organize 1991/92, Implement 1992/93

Budget: No additional funding required until 1992/93 implementation year.

Charge: Defer charge and constitution of committee until 1991

- B. Provide remote access to all the Library's databases.

1) Action: Provide remote access to the Library's catalogs (e.g., Slides catalog, records for manuscripts and archives).

Time: 1989/90: No additional funding

Who: Miller and Horres to monitor progress.

Charge: This activity is already underway.

2) Action: Make electronic databases, e.g., periodical indexes, available through System (CD-ROMs, MELVYL, locally mounted, gateway to vendors). (Also appears under Goal 2, Objective B.)

Committee and Charge: see under Goal 2, Objective B

- C. Provide remote access to services.

1) Action: Develop and implement a user-friendly interface for remote access to services and databases, including electronic mail service to library users. (Also appears under Goal 2, Objective B.)

Committee and Charge: see under Goal 2, Objective B

2) Action: Identify services to be delivered remotely and develop proposals, including budget and

timeline, for each. (Note: The intention here is to plan for how services will need to be organized and staffed to deliver them differently.) (Also appears Under Goal 2, Objective B.)

Committee and Charge: see under Goal 2, Objective B

D. Provide remote access to collections.

1) Action: Evaluate the Library Express pilot project and make recommendations for expansion and changes.

Time: 1989/90

Budget: Existing

Who: Steel (Chair), Galloway, Goff, Schiller

Charge: Develop and implement evaluation protocol. Make recommendations for any needed changes. Recommendations due to M. Horres by April 1.

2) Action: Establish and achieve performance measures for turn-around time for interlibrary loan and document delivery services. (See also Goal 8.)

Time: Establish performance measures in 1990/91.

Budget: 1989/90: N/A; additional funding may be required for 1991/92 implementation year.

Time: Achieve measures in 1991/92.

Charge: Coordinate with action plans from Goal 8.

3) Action: Evaluate effectiveness of van service to UCLA versus alternate delivery systems for library materials.

Time: 1989/90

Budget: 1989/90: No additional funding

Who: Steel (Chair), Hornbeck

Charge: Make recommendations including timetable to P. Mirsky by December 1.

4) Action: Develop and implement options for expediting delivery of library materials from UCLA and UC-Berkeley.

Time: 1990/91

Budget: 1989/90: No additional funding; 1990/91: Additional funding for implementation may be required.

Charge: Develop recommendations including timetable.

5) Action: Develop and implement options for electronic delivery of library materials, e.g., telefacsimile.

Time: Ongoing

Budget: 1989/90: No additional funding; 1990/91: Not yet determined.

Who: M. Horres will monitor progress.

E. Monitor, assess, and implement technological opportunities for library services.

1) Action: Set aside funding for annual project awards to implement new technology.

Time: 1989/90 and ongoing

Budget: 1989/90: No additional funding; 1990/91: Funding for implementation will be required.

Who: Slater (Chair), Dooley, Fisher, Sanchez-Wade, Starr

Charge: Draft guidelines for the award(s) and recommend the number of awards, their amounts and procedures for submitting proposals and selecting recipients. Report due to M. Horres by March 1.

2) Action: Establish a Library Technology Watch Task Force to identify new technologies for library applications.

Time: 1989/90 and ongoing

Budget: 1989/90: Some implementation funding may be required; 1990/91 --: Ongoing annual support required.

Who: Jurist (Chair), Walsh, Ferguson

Charge: Draft the charge to the Task Force and make recommendations on membership composition and the selection process. Report due December 1 to M. Horres.

3) Action: Establish an annual Technology Symposium with invited speakers for UCSD Library staff.

Time: 1989/90

Budget: 1989/90: Implementation funding required; 1990/91--: Ongoing annual support required

Who: Lucas (Chair), Bowles, Harden, Thompson

Charge: Plan and present the first symposium for the spring of 1990; develop a preliminary budget for consideration by December 15, 1989. Draft recommendations for planning future symposia based on symposium participants' evaluations and this year's process.

F. Integrate planning for computer resources into planning for library services.

1) Action: Attach a Computing Impact Statement to proposals for library operations or services. (See also 8C.)

Time: 1989/90 and ongoing

Budget: Existing

Who: Balch

Goal 4

Provide for effective bibliographic retrieval of the Library's collections.

OBJECTIVES:

A. Provide timely bibliographic access to all Library holdings. Match the level and kind of recordkeeping to the bibliographic characteristics and use of the material.

1) Action: Implement a contingency plan for INNOVACQ, INNOPAC, and local use of MELVYL.

Who: B. Miller, Systems Department, Disaster Planning Team.

Time: 89/90

Budget: Budgetary need to be defined.

Note: relate to all automated Library systems as needed.

2) Action: Develop and implement a cost effective strategy that eliminates the need for existing paper item holdings records.

Who: Existing staff (group to be defined).

Time: 89/90 to plan; as soon as possible to implement.

Budget: None for planning; to be defined for implementation.

3) Action: Survey all categories of Library holdings; establish definition for "effective, timely" access; modify priorities for acquisitions and cataloging processing in order to achieve that access. The basis for all associated planning must be founded on definitions that are based on user needs (both public and staff) and that relate to the service profiles for targeted user groups that are developed in Goal 2.

Who: Existing staff (task force approach).

Time: 90/91 (staff resources tied up in INNOPAC implementation; requires operational INNOPAC for efficient planning and understanding of options).

Budget: To be defined.

4) Action:

- a. Develop strategy for acquisitions and cataloging processing of materials published in non-roman scripts and in languages for which we lack staff expertise.
- b. Develop strategy for acquisitions and cataloging processing of materials that are in new formats.

Who: Barbara Tillett, Marilyn Wilson.

Time: 89/90

Budget: None to develop strategy.

Note: The purpose here is to eliminate the ad hoc aspect of planning for "new things."

5) Action: Enrich or expand bibliographic access using new technological options. Select at least one new opportunity per year and implement if appropriate; use the service profiles for targeted user groups that are developed in Goal 2 to guide the selection. Examples: major INNOPAC enhancement or new module, expert systems cataloging support, iterative indexing, installation of new database (e.g., GPO data, MeSH, set of journal indexes, etc.).

Who: Entire Library staff; the Library Technology Watch Task Force outlined in Goal 3 should monitor to ensure at least one substantial project per year.

Time: Each year.

Budget: Budget impact varies.

GOAL 5

House effectively and securely the Library's collections and services.

OBJECTIVES:

- A. Incorporate the building of an on-campus storage facility into the UCSD capital improvement planning.

1) Action: Develop strategy for garnering support on and off campus for on-campus storage facility.

Time: 1990/91

Budget: Existing

- B. Develop and implement a comprehensive facilities plan based on the frequency and kind of user access to the Library's materials and services.

1) Action: Revise Library Facilities Master Plan.

Time: 1989/90

Who: P. Mirsky

GOAL 6

Ensure that the staff can excel in advancing the Library's Mission.

General comment: To achieve this goal, our efforts in the areas of the objectives listed below, which have been carried out on an ad hoc basis to date, need to take on a more programmatic focus, that is, we need better overall planning, coordination and evaluation of our existing efforts in several areas, and more action and results in other areas, such as in-house training programs.

OBJECTIVES:

A. Provide for continuous learning by all staff.

1) Action: Identify and develop components of a staff development program that is responsive to the needs of Library staff at all levels. Examples of areas in which training and development are needed:

- orientation for new staff.
- training in specific skills for existing staff, including training plans to be used when a new employee steps into a job.
- ensure that all Library supervisors take the campus cluster of courses for supervisors, and provide in-house training that supplements and amplifies those courses.
- provide opportunities for staff renewal through job rotation, especially for staff who have reached plateau points.

Time: Could begin in 1989/90, depending on the following action.

Budget: depends on option selection in the following action.

Who: Trainer (to be hired) will take the lead in developing the program with guidance from J. Hanson and M. Harden, but Ad Con and department heads will be key groups for helping to determine priorities and evaluate effectiveness of efforts.

2) Action: Reach consensus on the best organizational structure needed to carry out an appropriate training/development program. Options:

- hire someone at half-time or full-time to coordinate program and to act as trainer in key areas
- set up an internal rotation to coordinate the training
- use a distributed approach, inviting/encouraging individuals or small groups to take responsibility for developing, presenting, and evaluating specific training programs

Time: This Action Plan completed August '89, with consensus reached by department heads' group to commit an FTE to a trainer position.

Budget: Beginning this fiscal year (probably by January 1) will require salary at the Administrative Analyst level, plus costs to set up a work station for the person hired.

Who: LPO will carry out this recruitment. The trainer will report to J. Hanson but will serve as a resource to all departments and to all levels of Library staff.

B. Recruit and retain highly qualified and diversified staff.

1) Action: Develop an overall Library recruitment program for the 1990's which involves the staff as a whole--especially all librarians--in a cooperative effort to attract qualified applicants of diverse backgrounds. As part of this program, produce a brochure which articulates our philosophy of recruitment and which could be distributed to every staff member as well as to prospective applicants, both locally and at national conferences.

Time: Begin efforts in 1989/90, but hold off on others until 1990/91.

Budget: Approximately \$1,500. this year for an educational program for Library staff on the theme of diversity in the work force, plus training materials related to interviewing skills for selection of best-qualified candidates. Next fiscal year: approx. \$1,000. to develop a brochure articulating the Library's recruitment program.

Who: This fiscal year, LAUC-SD Affirmative Action Committee Action Committee will take the lead in planning a program for Library staff on the theme of diversity in the work force. Next fiscal year a task group (not yet identified) will collaborate on development of a brochure articulating our recruitment program.

- C. Use goal-setting and performance evaluations as tools for staff development to accomplish the Library's mission.

1) Action: For librarians, MAP and A&PS employees, use Library's goals statement as a foundation for goal-setting by individuals.

2) Action: Provide a training session in writing goals statements and performance evaluations.

3) Action: Adopt self-evaluation of performance as a regular feature of performance evaluation for all levels of Library employees.

Time: Goal-setting for groups listed in Action 1) above is a process that's already in place, so with the completion of the Library's strategic plan document, goal-setting for individuals in those groups can be tied to Librarywide goals. Action 2) could probably be accomplished in FY 89/90 by bringing in a professional trainer. Action 3) could begin in 1989/90.

Budget: All of the above involve costs in terms of time and effort; additionally, Action 2) would probably cost \$500 - \$1,000.

Who: Ad Con group will take the lead in identifying a trainer to present a program on building skills in writing goals and evaluation of one's own performance. Moving toward evaluation of one's own performance by staff at all levels will require discussion and commitment within the department heads group, and then involving supervisors, who will need to coach their supervisees in this process.

- D. Provide an environment in which excellence and innovation can flourish. (Include an action plan for developing optimum channels of communication.)

1) Action: Library Administration should earmark some funds each year to support creative projects that staff might propose for the improvement of library services. Ensure that all staff know a.) that opportunities for proposing such projects exist, b.) how to go about proposing such a project, and c.) that there is no guarantee that any specific proposal would be endorsed and funded. Keep rules and paperwork requirements to a minimum. Be prepared to accept some degree of failed or disappointing results as an inevitable by-product of creative efforts.

Time: Hold off until fiscal year 1990/91.

Budget: Earmark \$3,000. for this program in 1990/91.

Who: Task group (not yet identified) will be charged to develop a general framework for this program.

2) Action: Recognize and support the importance of the communication channel between supervisor and supervisee as the most basic and critical communication link within any organization. This relates to Action 1) for Goal A above, which focuses on the importance of training for supervisors so they are better equipped to communicate with their supervisees in terms of directing their work, providing them with information and a broader context for understanding larger organizational issues and events, and acting as a resource to them in their career planning and goal-setting efforts.

Time: Could begin in 1989/90.

Budget: Difficult to estimate, because specific initiatives to be taken will be developed in collaboration with new trainer.

Who: The trainer will take a lead role in carrying out this Action Plan, but the specific steps to be pursued will be developed by him/her in consultation with Ad Con, the department heads' group, and with the staff broadly.

GOAL 7

Develop the financial resources to build the staff, collections, and facilities for a Library to match the excellence of UCSD's academic programs.

OBJECTIVES

- A. Design and carry out a comprehensive Library Development Program with the following components:

1) Action: EVENTS. Develop an annual events program, including at least two fund-raising events targeting different aspects of the Library's collections development program. Other events will be to enrich the campus and the community through Library-sponsored educational and cultural programs.

Time: 1989/90 and on-going

Budget: Programs developed in partnership with the Friends can be charged to Friends' account.

Who: L. Clark, assisted by L. Claassen and D. Gregor

2) Action: PUBLICATIONS. A Library newsletter will be published at least three times each year. Attractive brochures about the UCSD Library and the UCSD Friends of the Library will be current and currently available. The Library's annual report will be written to publicize Library activities to external groups.

Time: 1989/90 and ongoing

Budget: Friends' Newsletter produced on Friends' funds. Annual report production budget to be developed.

Who: Newsletter - L. Claassen, L. Clark; Annual report: D. Gregor, L. Clark

3) Action: Develop campus/faculty support for library needs related to new academic programs by

- a. Use of Library Impact Statement - Bibliographers, G. Soete, D. Gregor
- b. Annual review for Senate Library Committee - D. Gregor, G. Soete

- c. Strengthening communications with Deans, Department Chairs, and key faculty ("take a Chair to lunch") - D. Gregor, AULs

Time: 1989/90 and ongoing

Budget: None

- 4) Action: Intensify efforts to secure grant support from public and private sources by

- a. Having at least one grant in progress at all times. D. Gregor to monitor.
- b. Encouraging all staff to be aware of grant opportunities and contributing to the development of grant applications. D. Gregor, AULs

Time: 1989/90 and ongoing

Budget: Varies with granting agency's requirements. In some cases, matching funds and/or contribution will be needed.

- 5) Action: Identify and pursue opportunities for budgetary initiatives within the University of California.

Time: 1989/90 and ongoing

Budget: None

Who: D. Gregor

- 6) Action: Solicit collections and other gifts-in-kind in support of campus programs.

Time: 1989/90 and ongoing

Budget: May require materials funds, processing support.

Who: Entire staff, particularly D. Gregor, G. Soete, bibliographers.

- a. Publicize the Library's interest in acquiring collections through the staff, the Friends, the Bibliophiles, the faculty.

Time: 1989/90 and ongoing

Budget: None

Who: Entire staff, particularly D. Gregor, L. Claassen.

- B. Develop policies and procedures for serving off-campus users.

Time: 1989/90

Budget: None

Who: D. Gregor, Department Heads

GOAL 8

Work continuously to improve the Library's performance by evaluating the Library's success in accomplishing its goals.

OBJECTIVES:

- A. Establish performance measures for the Library's operations and services. Build an evaluation component into the development of new services.

1) Action: Use measures of AVAILABILITY such as Paul Kanter's as the umbrella output measure for the Library's performance. AVAILABILITY covers a variety of library activities, represents the most basic of the Library's functions and applies to all library departments, so the AVAILABILITY measure will provide a broad-based and powerful measure of how we are doing one of our basic jobs. Using AVAILABILITY measures will allow us to compare our performance with other libraries using the same measures.

2) Action: As AULs and Department Heads develop and introduce new services, an evaluation component will be included. Continuation or modification of new services will be based on analysis of the results of the evaluation.

- B. Incorporate performance measures into library operations and services. Translate into improved library performance.

1) Action: Working with AVAILABILITY measures will allow us to establish benchmarks for Library performance and to set performance goals, the Library's "bottom line".

Time: An ongoing evaluation program should be in place by the end of fiscal 1991/92.

Budget: Because the Library has limited experience with performance measures, suggest asking Paul Kanter to work with staff in order to institute the use of the AVAILABILITY measures and to build them into library operations on an on-going basis. Also needed is a librarian on special assignment to assist in setting up the measures in library departments.

- C. Integrate planning for computer resources into planning for administrative support.

1) Action: Systems Office will develop a COMPUTING IMPACT STATEMENT as part of the budget development for each fiscal year. The IMPACT STATEMENT should include "building blocks" for planning computing support, e.g., support needed (in the form of a unit cost, including staff, equipment and supplies) for an administrative work station on the Library network, support needed for a standard MELVYL/INNOPAC terminal, etc. As the Library moves toward a Program Budget, the COMPUTING IMPACT STATEMENT should be prepared for each library program. For new initiatives IMPACT should be assessed for temporary or one-time needs to begin and for on-going support. IMPACT may include identifying expertise or support needed from outside the Library.

2) Action: Develop on-going three year out budget projections for automation requirements, including equipment amortization funds.

Time: 1990/91 and on-going

Budget: COMPUTING IMPACT STATEMENT can be developed within existing resources.

Who: B. Miller, E. Balch

D. Develop methods to evaluate and monitor fiscal allocations in order to make optimum use of resources.

1) Action: Move to program budgeting. First steps include developing an understanding of the concept and uses of program budgeting techniques, identifying programs within departments and deciding on techniques for assigning the Library's resources to the various programs. In some departments "basic services" may be identified as a "program." For budget development it may be useful to develop unit costs for some services, e.g., shelving/reshelving books, staffing the circulation desks, etc.

Time: Program budget to be in place by the end of 1990/91 fiscal year.

Budget: May need additional resources for programming fiscal information system to accommodate program budget reports. May need a consultant to assist with developing conceptual framework for program budgeting.

Who: D. Gregor, A. Robertson, B. Hornbeck, M. Harden, et al.



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